ARGIS User Manual



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A. Entering a Proposal Transmittal Form

Effective Date: 8/17/15 Last Updated: 8/17/15

Reason for Procedure

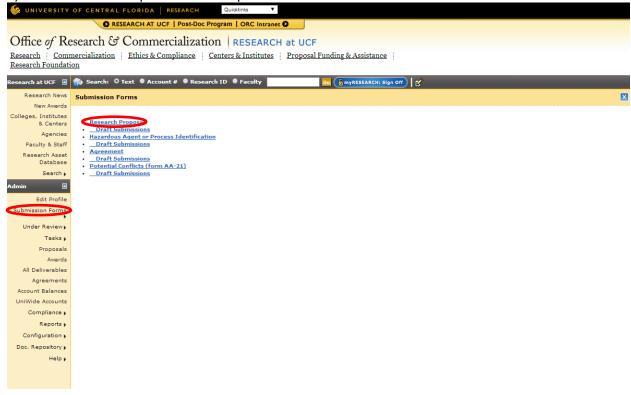
The Proposal Transmittal Form (PTF) is typically the initial data entry for a sponsored project in ARGIS. The majority of proposals are entered into ARGIS for record keeping, tracking, and reporting purposes.

§1 Initiating a PTF

To enter a PTF in ARGIS, follow these steps:

1) Under the Admin column, on the left hand side, click on the Submission Forms tab.

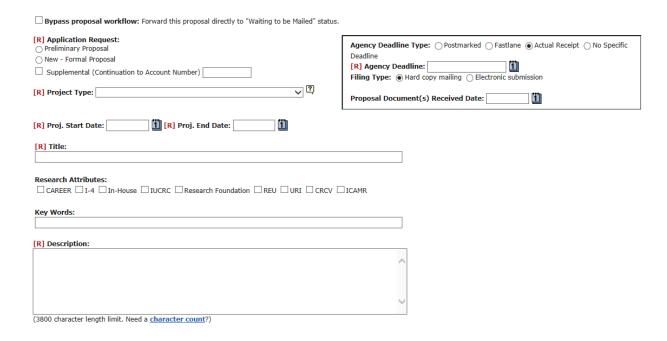
2) Select Research Proposal. This will open a blank PTF.



There are six (6) tabs in the PTF: Details, Budget, Investigators, Documents, Related Info, and Contractual.

§1.1 Details Tab

The Details tab outlines specific information about the proposal in general including, but not limited to, which agency the university is proposing to, the project period, the proposal deadline, and specific compliance information.



Bypass Proposal Workflow

This radio button should only be selected in the event that all hard-copy signatures have been obtained from the complete chain of approvers. Certain internal programs such as "In-House" will have a fully approved hard copy PTF to which this button will be applicable.

Application Request

The Application Request identifies what type of proposal is being submitted to the agency. *Note: The actual use of the different types of request varies from the naming. Please contact your supervisor for clarification as to which type to select.*

- Preliminary Proposal
 - Brief descriptions of the intended research plan, which may or may not include an estimate or budget. Typically a two part process: 1. preliminary proposal 2. Full proposal
- New Formal Proposal
 - A formal proposal submission which typically includes final scope of work, complete budget, budget justification and agency specific documents.
- Supplemental (Continuation to Account Number)
 - To be marked when the new proposal is a continuation of a previously funded project.

Agency Deadline Type

The Agency deadline identifies what type of deadline the agency is requiring for the proposal delivery.

- Postmarked
 - Hard-copy mailed application that must be post marked by the application deadline

- Fastlane
 - National Science Foundation (NSF) proposals
- Actual Receipt
 - o Applications which must be received by the sponsor by the application deadline
- No Specific Deadline
 - When no deadline is presented by the agency for the proposal.

Agency Deadline

For reporting purposes, the Date Mailed must be entered as soon as a PTF has been entered into the ARGIS system, for Under Review. As PI's do not have the ability to enter this date, ORC must check for any newly entered PTF's on a daily basis. If a PTF is not entered by a PI by the day of submission; ORC must enter the PTF on their behalf and ensure this date is captured.

Filing Type

The Filing Type identifies what form the proposal is required to be submitted. Select either Hard copy or Electronic. If the submission procedure requires both, select hard-copy.

Proposal Document(s) Received Date

Denotes the date in which the majority of the application elements were received from the PI/Department for ORC review.

Project Type

The Project Type identifies the realm of work being proposed in the proposal.

- Instruction: Instruction
- Instruction: Training
- Intergovernmental Personnel Agreement (IPA)
 - An agreement between UCF and a federal agency used to assign a federal employee to work at UCF, or to assign a UCF employee to work at the federal agency.
- Internal UCF Program
 - Programs which are funded solely by UCF (e.g.. In-House, SEED Program, etc.)
- Organized Research: Applied Research
 - Conducted to gain the knowledge or understanding to meet a specific, recognized need.
- Organized Research: Basic Research
 - Undertaken primarily to acquire new knowledge without any particular application or use in mind.
- Organized Research: Clinical Trial
 - A prospective biomedical or behavioral research study of human subjects that is designed to answer specific questions about biomedical or behavioral interventions (drugs, treatments, devices, or new ways of using known drugs, treatments, or devices).
 Clinical trials are used to determine whether new biomedical or behavioral interventions are safe, efficacious, and effective.¹
- Organized Research: Development

¹ Office of Extramural Research. National Institutes of Health. http://grants.nih.gov/grants/glossary.htm#C. Retrieved on 04/22/2014.

- A systematic use of the knowledge or understanding gained from research directed toward production of useful materials, devices, systems, or methods, including the design and development of prototypes and processes.
- Other Institutional Activities: Construction
 - o Activities which involves major construction programs on campus.
 - Please see your supervisor first before selecting this option.
- Other Sponsored Activities: Conference
 - A project, in which a conference will be supported from the project funds.
 - Please see your supervisor first before selecting this option.
- Other Sponsored Activities: Equipment
 - A project, in which the main intent is to receive and house a major piece of equipment at the university.
- Other Sponsored Activities: Fellowship
 - A project, in which the intent is to have a fellow/mentor relationship established.
- Other Sponsored Activities: Private Service:
- Other Sponsored Activities: Public Service
- Other Sponsored Activities: Testing/Development/Analysis
- Research Foundation: Donation/Sponsorship/Other Agreements: Only for UCF RF use
- Research Foundation: Foundation Accounts Only for UCF RF use

Project Start/End Date

Enter the dates of the period of performance for the proposed project.

Title

Enter the title of the proposed, as submitted to the agency.

Research Attributes

Research Attributes identify any key features of the proposal which ORC reports to external entities or tracks internally.

- CAREER: Denoted only when the project is an NSF CAREER proposal.
- I-4: Denoted only when the award is through the UCF I-4/FHTC Program
- In-House: Denoted only when award is through the UCF In-House Program. See In-House award set up guidelines.
- IUCRC: Denoted only when the award is an NSF Industry & University Cooperative Research Program (IUCRC).
- Research Foundation: Denoted when the project is being run through the Research Foundation (RF).
- REU: Denoted only when the award is an NSF Research Experience for Undergraduates (REU).
- URI: Denoted only when the award is part of the Undergraduate Research Initiative (URI).
- CRCV: Denoted only when the proposal/award is affiliated with the Center for Research in Computer Vision (CECS: CRCV)
- ICAMR: Denoted only when the proposal/award is affiliated with the International Consortium for Advanced Manufacturing Research (ICAMR).

Key Words

Enter key words for the proposal. Words should be descriptive of the scope of work. This section enhances the search component of ARGIS.

Description

Enter a brief technical description of the scope of work. Please note, this section is available to the general public, ensure no proprietary or confidential information is included.



Agency

Enter the agency to which the proposal was submitted to.

- Select from the Agency List, when dealing with an External Sponsor
- Select from the College/Dept List when dealing with an Internal Sponsor

Proposal Announcement/Number

Enter the solicitation/RFP number here, if applicable. Do not include dashes.

Proposal Instructions/General Comments

Enter any key and/or important information to relay to the chain of approvers.

Special Considerations

After evaluation of the proposal scope of work and confirmation with the PI, answer all special considerations. If submitting an NSF proposal, and postdocs, graduate or undergraduate students are involved you must select the type of RCR training that will be used (which must be confirmed by the PI).

Facilities & Resources: Yes No Will additional space or facilities be needed? Will this project require the use of UCF facilities, equipment, or services for which a UCF fee will be charged to this project? Will this project require new research computing Center (STOKES)? Will this project require new research computing equipment, data archiving or data management by UCF? Regulatory Compliance: Yes No Will human subjects (to include data about living people, biological specimens, etc.) be used? Will vertebrate animals be used during this project (experimental or observational)? Will hazardous materials be used? Classified & Export Control Restrictions: Yes No Is the project classified? Is the project sensitive, but unclassified? Is the project sensitive, but unclassified? Will any materials and/or proprietary information be exchanged? Will subcontracting to another organization occur?	[R] Is this project conducted on-campus? OYes ONo					
No	[R] SPECIAL CONSIDERATIONS:					
 Will additional space or facilities be needed? Will this project require the use of UCF facilities, equipment, or services for which a UCF fee will be charged to this project? Will this project require access to UCF's High Performance Computing Center (STOKES)? Will this project require new research computing equipment, data archiving or data management by UCF? Regulatory Compliance: Yes No Will human subjects (to include data about living people, biological specimens, etc.) be used? Will vertebrate animals be used during this project (experimental or observational)? Will hazardous materials be used? Classified & Export Control Restrictions: Yes No Is the project classified? Is the project under export control restrictions? Collaborations: Yes No Will any materials and/or proprietary information be exchanged? Will there be individuals on campus who are not UCF employees? 	Facilities & Resources:					
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Yes No Will any materials and/or proprietary information be exchanged? Will there be individuals on campus who are not UCF employees?	0	0	Is the project under <u>export control</u> restrictions?			
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○ Will there be individuals on campus who are not UCF employees?	Yes	No				
•	0	0	Will any <u>materials</u> and/or <u>proprietary</u> information be exchanged?			
Will subcontracting to another organization occur?	0	0	Will there be individuals on campus who are not UCF employees?			
	0	\circ	Will subcontracting to another organization occur?			

• Is this project conducted on Campus: For a project to be considered off-campus, more than 50% of the total work must be performed off-campus (for full confirmation of "off-campus" refer to the UCF Space Survey).

Facilities & Resources:

Will additional space or facilities be needed?

[R] Can information about this submission be disclosed? OYes ONo

- Will this project require the use of UCF facilities, equipment, or services for which a UCF fee will be charged to this project?
 - By marking yes, researchers may be indicating the use of a Recharge Center is necessary. Recharge Centers are entities within the university that provide fee-based services to the UCF research community. To determine if a unit qualifies as a Research Center, please consult your assigned Proposal Manager. A few examples include the COP/CREOL Machine Shop, CECS/MAE Machine Lab, COS/Physics Machine Shop and Program Evaluation and Educational Research Group (PEER).
- Will this project require access to UCF's High Performance Computing Center (STOKES)?
 - STOKES ARCC is housed within the Institute for Simulation and Training. STOKES is used by faculty, individually or in collaboration with other institutions, for highly calculationintensive tasks, storage, and visualization resources to support research and education. Research areas may include molecular modeling, storm surge analysis, quantum optics, non-linear optics, turbine design, computer vision, and nanotechnology.
- Will this project require new research computing equipment, data archiving, or data management by UCF?
 - By marking yes, researchers are indicating they require additional computing equipment or need UCF resources (Department/College Information Technology) for managing or archiving their research data.

Regulatory Compliance

Will human subjects (to include data about living people, biological specimens, etc.) be used?

Human Subjects research includes data from a living individual through intervention or
interaction, information that is Private Information and identifiable Information, and use
or collection of biological specimens. If marked YES, the Institutional Review Board (IRB)
will need to approve the use of these subjects. Note: IRB may include surveys and any
participant identifiable information. Faculty are not the appropriate party to determine
if IRB review is needed or not.

Will vertebrate animals be used during this project (experimental or observational)?

Projects including animal research are required to have an approval protocol with UCF's Institutional Animal care & Use Committee (IACUC) prior to initiating in animal research. Animal research includes studies on living vertebrae animals (both non-invasive observations and experimental), non-living vertebrae animal material, and projects that use commercial or other USDA registered animal facilities to produce animal products, such as commercial antibody companies. If marked YES, IACUC will need to approve the use of these subjects. Note: UCF has limitations on what animal research can be conducted within our facilities; please consult with your supervisor if the research is beyond what has been listed here. Faculty are not the appropriate party to determine if IACUC review is needed or not.

Will hazardous materials be used?

Hazardous materials include, but are not limited to, biohazards, agents/toxins, chemicals/solvents/gases (including 190/200 proof alcohol), DEA regulated chemicals, explosives, radioactive materials, lonizing and non-ionizing radiation producing machines, shipments of hazardous materials, or field research using hazardous materials. If marked YES, additional information may be required from the PI. In addition, an approved Hazardous Agent or Process Identification Protocol may be required prior to award.

Classified & Export Control Restrictions

• Is the project classified?

 Classified research has a security classification from the federal government (e.g. top secret, secret or confidential). Classified research restricts some or all of the project outcomes, procedures, and personnel working under rules established by the agency for which the research is being conducted. The university has the ability to receive Secret classified work. This level is determined by the Government agency.

Is the project sensitive, but unclassified?

 When the study conducted poses an intrusive threat (e.g. research in areas that are considering private, stressful, sacred, or exposes incriminating information) to national security or other interests of the federal government relating to the national defense or the foreign relations of the U.S. government. This level is determined by the Government agency.

Is the project under export control restrictions?

O Governs the shipment, transmission, or transfer of certain sensitive items, information, or software to foreign persons or entities. If applicable, U.S. government authorization in the form of an export license may be required. Export control regulations include the U.S. Department of Commerce (Export Administration Regulations or EAR); the US Department of State (International Traffic in Arms Regulation or ITAR), and the US Department of the Treasury (Office of Foreign Assets Control or OFAC). If the project is subject to the EAR and/or ITAR, then the question should be marked as YES.

Collaborations

Will any materials and/or proprietary information be exchanged?

 "Material," can encompass many forms including, but not limited to, biologicals, chemicals, compounds, organisms, software code, works and organic matter. If you plan to exchange Material with an outside entity, please contact your appropriate ORC contact to discuss the appropriate agreement to have in place for the exchange. If marked YES, a Non-Disclosure Agreement must be negotiated between UCF and the Agency.

Will there be individuals on campus who are not UCF employees?

For liability purposes, visitors and guests must complete an Environmental Health & Safety(EHS) form prior to visiting any UCF owned or operated facility. Visitors and guests can include visiting scientists, research collaborations, students and project participants. If marked YES, additional information may be needed from PI for next steps. This is helpful in determining whether a "Visiting Scientist Agreement," is required or if there may be additional liability on UCF's behalf.

Will subcontracting to another organization occur?

 If marked YES, additional documentation will be needed for the proposal file. Contact the subcontractor as soon as possible to start collecting the appropriate documents.

Can information about this submission be disclosed?

 By selecting, "Yes" only the PI and UCF staff will have the visibility of this project (proposed/funded) when conducting online searches.

§1.2 Budget Tab

The Budget Tab outlines the financial consideration being requested in the proposal. Details such as the indirect rate, source of funds, and budget line item costs are outlined.

When under the Budget Tab, select the onter information about the budget.



By clicking the on a new screen is generated. This section outlines key information about the fiscal consideration under the proposal.

Budget: This section is used to set up the budget(s) for this submission. To begin, indicate the Project/Dept Type of the budget to be established in the form below. If you're unsure of the type, select 'Unassigned' from the choices available and a proposal administrator will complete on your behalf. Next, indicate if there will be multiple funding sources for the Project/Dept Type and then select Submit. Upon doing so you will be prompted to complete the budgetary fields. When you have completed the budget information, select Next to continue to the next tab. [R] Project/Dept Type: C&G External INDIRECT [R] What is the indirect rate to be used for budgeting/billing?: [R] Is any indirect being limited? If so, why?: O Yes, Rate Limited by Sponsor O Yes, Rate Voluntarily Limited (or Not Applied at all, ie Internal Cost Share) No Limit, Current Rate is Used COST SHARE There are many forms of cost share and this system tracks each type in different ways. Your responses to the questions above regarding the indirect rate reflect any possible Unrecovered Indirect that may be reported as cost share. Additionally, if there is any Internal, Subcontractor, or other Third Party In-Kind Cost Share to be tracked for this account, you will create a separate account type and enter the appropriate funding source and budget for each of these types, and then link the account back to this one. The other type of cost share that can be related to this project is Third Party Sponsored Cost Share. This is where all funding or a portion of funding from another sponsored project is being used as cost share. NOTE: A federal project cannot be used as cost share for another federal project unless specifically approved by the sponsor. Use the look-up function to locate and associate other research accounts that will be used as Third Party Sponsored Cost Share for this project. For each project specify the portion to be used as cost share: [R] Will multiple agencies, departments or colleges be funding this Project/Dept Number? O Yes O No

Project/Dept Type

The project/department type indicates the source of funding for the project and is used for various reporting requirements. There are several sources of funds for projects:

- C&G External
 - Funding is being received from an agency outside of the university.
- C&G Internal Cost Share Required
 - Cost Share that is required by the agency as a condition of award and reflected in the proposal to the agency. This type of project/department type must be tracked by the university and reported to the agency.
- C&G Internal Cost Share Voluntarily Committed
 - Cost Share that is not required by the agency or included in the proposal.
 This is not reported to the agency.
- Subcontractor Cost Share
 - Cost Share required by the agency but provided by a subcontractor. This
 must be tracked by the university and reported to the agency. Subcontract
 reports cost share value on the subcontractor's invoices.
- Third Party In-Kind Cost Share
 - Cost Share from a source outside of UCF that is not cash-based, such as
 donated time or a piece of equipment. While the third-party is not supplying
 the university with actual cash dollars, the donation does need to have a
 quantitative dollar amount assigned to the donation.
- External Funding (Reporting Only)
 - External funding tracked for university-wide reporting purposes only. Verify this option with your supervisor.
- C&G External (Major Construction Only)
 - Funding from an agency outside of the University for a Major Construction Project.
- Program Income (Additive)
 - Program Income (Additive) is selected in the instances when a project generates program income that the Prime Sponsor is returning to be added to the project award total
- Program Income (Cost Share)
 - Program Income (Cost Share) is selected in the instances when a project generates program income that the Prime Sponsor is treating as cost share from UCF for the benefit of the project

Indirect Rate and Limitation

If the indirect rate is limited (i.e. our federally negotiated rate is not being used), the rate to which the project is limited it should be noted here.

- Yes, Rate limited by Sponsor
 - If the indirect rate is limited by the agency to a rate lower than our federally negotiated rate, select this option.
- Yes, Rate Voluntarily Limited (or Not Applied at all, i.e. Internal Cost Share)
 - If the indirect rate is being limited voluntarily by the university or is not being applied, select this option.

- For example, if the account being established is an internal cost share account, the university will not charge indirect on itself, therefore, the rate is not applied to the account.
- No Limit, Current Rate is Used
 - If the currently federally negotiated indirect rate is used on the project, select this option.

If the indirect is limited (either by the agency or voluntarily), two additional questions will display and required to be answered.

- What indirect percentage will not be received due to rate limits?
 - The purpose of this question is to determine the amount of indirect costs the university is not recovering or foregoing, due to the limit. This is of importance for reporting purposes.
- If applicable, will the sponsor allow for the unrecovered/forgone portion of the indirect to be reported as cost share?
 - The purpose of this question is to alert F&A about the reporting of the unrecovered/foregone indirect costs to the agency.
 - o If the agency will allow this to be counted, select YES. If it is not allowable, select NO. If unsure which to select, see your supervisor for guidance.

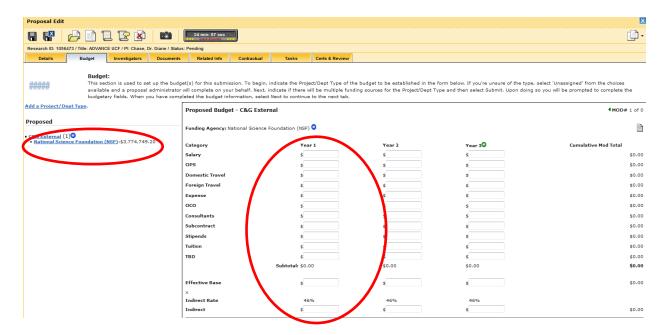
Cost Share

If another project account is being used for cost share on the award, the project's account number will need to be entered. It's important to note this for two reasons. First, Compliance can include this in the cost share report to the agency. Second, so the project being used for cost share is not used as cost share for a separate project (i.e. project to project cost share).

Will multiple agencies, departments or colleges be funding this project/Dept. Number?

If the account will be funding by more than one funding source, select yes. This prompts ARGIS to create a second funding source within the same account number. This is only used for internal accounts, such as cost share accounts.

Once the appropriate information is entered, click "Submit" to save the information under the specific account. The budget line item costs screen will be generated.



Enter the budget per the proposal or internal budget.

Helpful Hints for Budget Entry:

- When entering budget information, no cents should be included. Only whole numbers should be entered. If cents are part of the proposal, *round down* to the nearest whole number.
- OCO is the equipment category.
- The Effective Base is the amount of the award on which the indirect rate is calculated. For
 example, if the indirect rate for the project is based on the university's federally negotiated
 rates, the Effective Base would reflect the total direct costs minus tuition, equipment over
 \$5,000 and subcontract values greater than \$25,000.
- Indirect costs are automatically calculated using the Effective Base entered. Cents may be generated from the auto calculation. If cents are generated, round to match the total funded amount.

Once this information is added, click "Next".

It is no longer an option to choose

§1.3 Investigators Tab

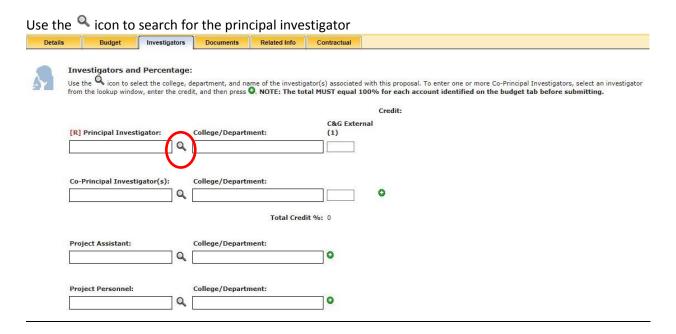
The purpose of the Investigators Tab is to identify the PI and any co-PIs for the project, distribute the credit splits between the PI and co-PIs, document the efforts of each PI and co-PI, and document the indirect percentage split between the colleges and departments working on the project.

The tab is divided into three sections: Investigators and Credit Percentage, Proposed Effort, and College/Department Indirect Percentage.

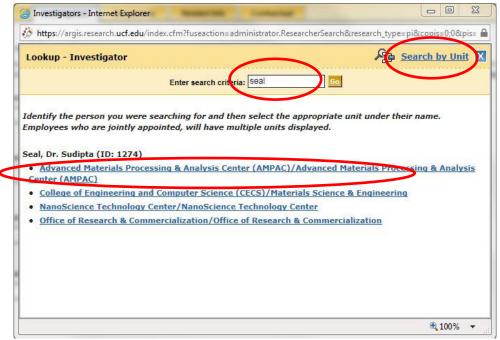
Investigators and Credit Percentage

The Investigators and Credit Split section define who the PI and co-PIs are on the project and distributes the percentage of credit each individual is to receive for the project. Other key personnel, who may not

be a Co-PI but will be responsible for the design, conduct, or reporting of the project, can be identified as project assistant or project personnel. No credit is given to these individuals.

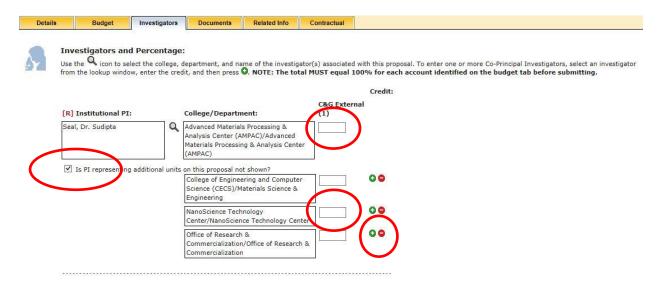


A pop window will appear where you can search for the investigator by name or unit. If searching by unit, select the appropriate college and department, until the investigator is found. If searching by name and the investigator is associated with multiple units, all units will display; select the primary unit for investigator.



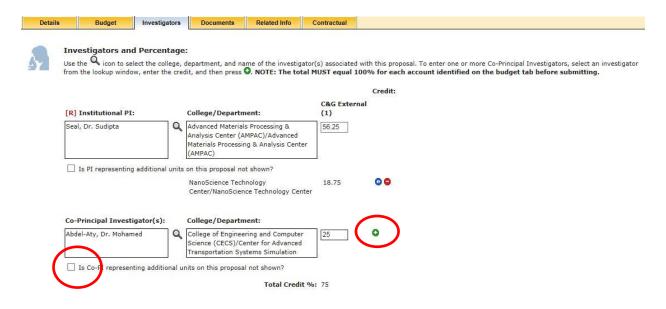
Regardless if you search name or unit, once the investigator is located and selected, you will be to assign credit to applicable units the investigator is associated with; a check box will automatically appear if the system recognizes that the investigator is associated with multiple units. If you check the box, "Is PI

representing additional units on this proposal not shown" then all of the investigators affiliated units will appear, allowing you add or delete credit as appropriate. The appropriate credit percentage will need to be entered before adding the unit.



To add a co-PI, project assistant or project personnel to the award, search for the investigator using the icon and locate the investigator either by unit or name. Once selected, assign the appropriate credit and click the icon to associate the investigator to the record. Note: if the Co-PI is affiliated with multiple units, the check box for representing additional units will appear. If credit for affiliated units need to be assigned, then the appropriate percentages will need to be entered before clicking on the icon. If information on a co-PI needs to be edited or removed, click the icons, respectively.

Note: The credit slit between the PI and Co-PIs need to total 100%.

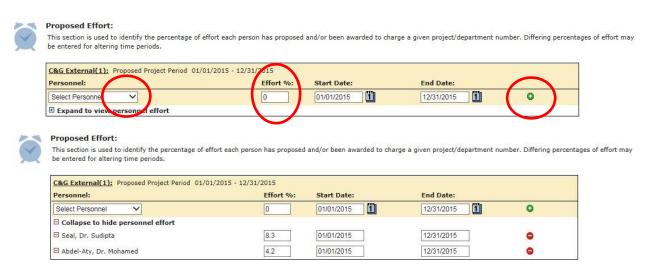


Proposed Effort

The Proposed Effort section defines the effort information for each investigator on the project.

Note: The investigator does not have the capability to complete this section; this section must be completed by ORC prior to moving the PTF to the status of Pending.

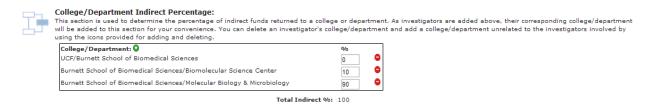
To enter effort information for an investigator, select the investigator's name from the drop down menu. Enter the percentage of effort and the associated start and end date for the period of effort. The start and end date entered on the details tab (period of performance) will auto populate as the start and end date in the proposed effort section. If percent of effort varies during the performance period, the dates can be adjusted to reflect multiple periods. If multiple effort periods are to be reflected, be sure effort is assigned for the entire period of performance. Effort percentage is determined by the number of months the investigator has committed, divided by the number of months within the effort period. To add the effort information, click the occurrence is investigator to the effort period of performance.



College/Department Indirect Percentage

The College/Department Indirect Percentage section defined the overhead distribution to each of the colleges and departments associated with the project.

The split percentage among participating units is determined by the investigators, colleges, and departments. It does not always correspond to the investigator credit or budget split percentages.



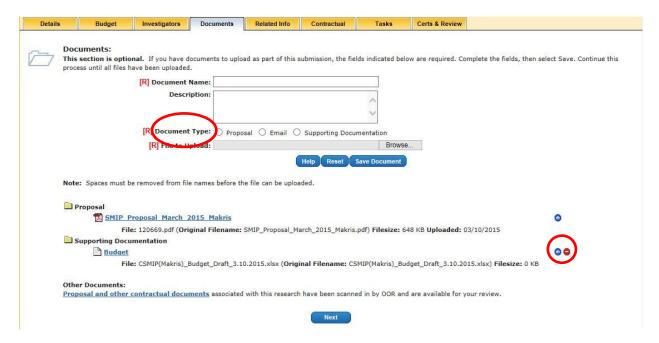
Note: The indirect split between the colleges and departments needs to total 100%.

§1.4 Documents Tab

The Documents Tab is where pertinent documents can be attached to the record to be used by other users who would approve the PTF for review.

Documents that require approval and/or consideration from the chain of approvers should be uploaded under this tab. These documents may include (but not limited to) the draft proposal, internal budget, service fee request form, and/or cost share commitments (if applicable). No working papers or internal ORC documents should be uploaded here.

To upload a document, enter a name for the document. Next, select the type of document being uploaded. Then click the Browse button to search for the document. Once selected, click the Save Document icon to save the document to the record. Uploaded documents can be edit or removed by click on the Go logo.



Note: In the final proposal draft is uploaded as the document type "Proposal", then the investigator will be able to automatically process the document through IThenticate by selecting "use existing document"- See section regarding approval workflow and certification.

The Related Info Tab is important for awards since it captures all non-funded agreements, other research projects, inventions and invention disclosures that are related to the specific award. If a change is made to an award, this may have significances for a related agreement, research project, disclosure or invention.



To affiliate another research project or agreement with the award, click the appropriate

Browse to Locate Research

Browse to Locate Agreement

button. Search and select the appropriate record to affiliate. The title of the research project or agreement will display in the Name box. Once selected, click the button. The record will now display under the corresponding type of record.

Note: C&G staff is not able to associate disclosures or inventions with research projects. The Tech Transfer team is the responsible party for properly associating disclosures and inventions to research projects.

§1.5 Contractual Tab

The purpose of the Contractual Tab is to capture any funded, third-party contractual agreements in connection to the project.



Contractual Agreement Type

The Contractual Agreement Type identifies what type of relationship the third-party has with the university and subsequently, the project. Select the appropriate agreement type from the drop down menu. Descriptions of the types of contractual agreements are provided below.

Sub-Contract

 A sub-contract or subrecipient is an organization providing programmatic effort under the award to support the completion of the aims and goals of the project.

Consultant

 A consultant is an individual who is providing programmatic effort under the award to support the completion of the aims and goals of the project.

Collaborator

o A collaborator is an individual participating on the project.

• Other Significant Contributor

 An Other Significant Contributor is an Individual who has committed to contribute to the scientific development or execution of the project, but are not committing any specified measurable effort (i.e., person months) to the project. These individuals are typically presented at "effort of zero person months" or "as needed."²

Note: The selections "Collaborator" and "Other Significant Contributor" are new designations that are part of the System-to-System programming taking place. As of now, these selections should not be used.

Contractual Agreement Agency

The Contractual Agreement Agency identifies who the university has a contractual relationship with. Using the same instructions as prescribed in the *Agency Look-Up Section*, search for the appropriate agency, address, and contact for the contractual legal entity.

Once the required information is selected for the contractual agreement, click button to save the information in the tab. The contractual agreement should now display below the heading Associated Contractual Agreements. Details of contractual agreements can be edited or removed by clicking on the icon.

Note: Proposed amounts for subcontracts should be entered on the Budget Tab in line associated with the newly identified contractual agreement agency.

² Office of Extramural Research. National Institutes of Health. http://grants.nih.gov/grants/glossary.htm#O. Retrieved on 04/22/2014.

§2 Submitting a PTF

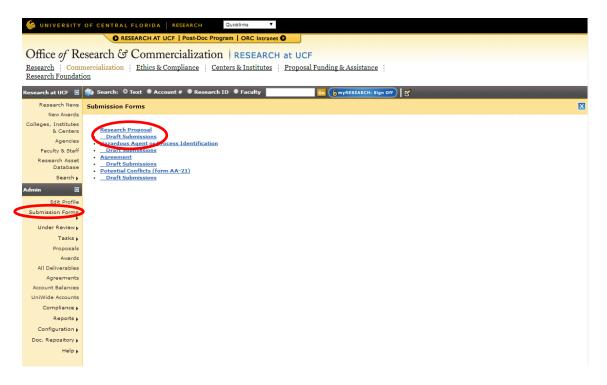
Once the PTF entry is completed, select either



"Save as Draft," allows for you to save the information entered but does not make it available to approver chain

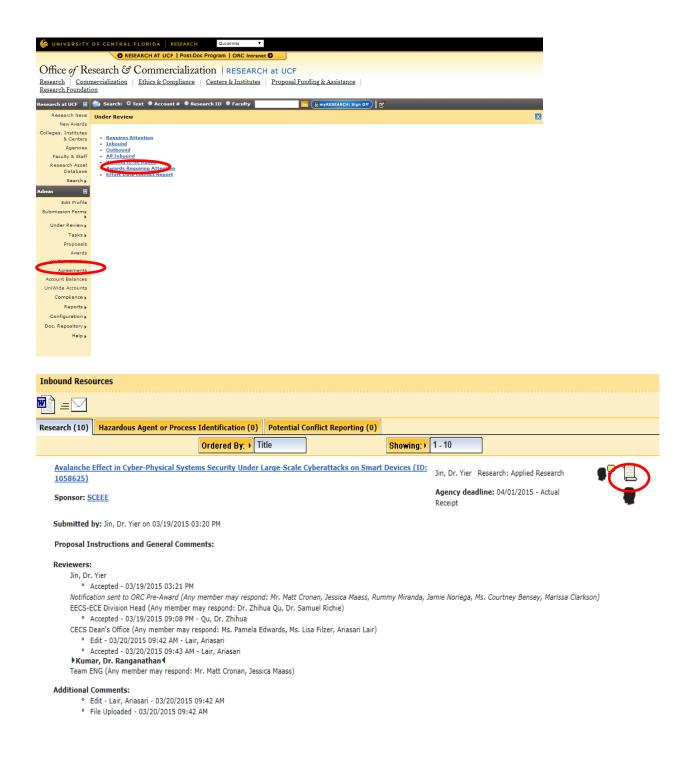
"Submit" begins the review process to the assigned PI, Co-PIs, Chairs, Deans, and ORC representatives

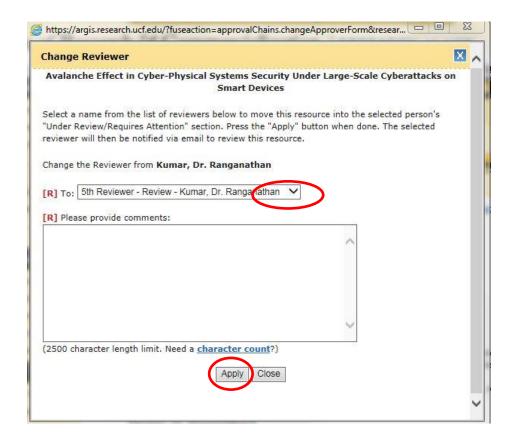
Once a PTF is saved as a draft, drafts can be found under the Submission Forms Tab, and by selecting Draft Submissions under Research Proposal.



Once a PTF is submitted, it will display under the user's inbound queue. Select Under Review and In bound from the Admin column on the left side. If one of the people identified on the workflow is not available and the approval chain needs to be moved to the next approver, select change review icon

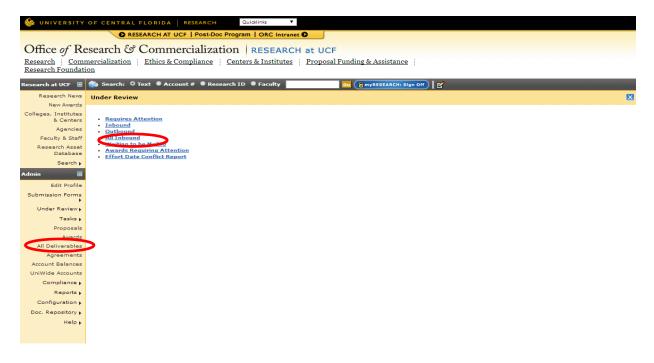
. A Pop up window will appear to allow you to select the next approver from the drop down option. A comment and/or justification as to why the review chain is being modified will need to be entered





§3 Approving a PTF

Once the PTF has fully routed through the approval chain to the ORC approvers, select Under Review, and Requires Attention from the Admin column on the left side.



From the list of proposals that are currently requiring attention, select the proposal needing attention.



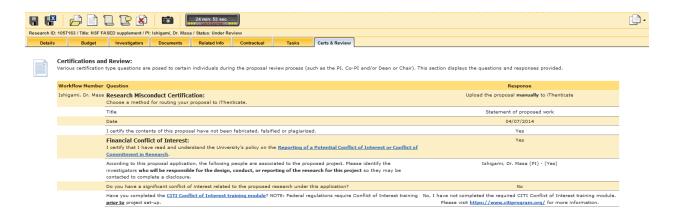
Also note on this screen that the full proposal can be viewed, along with the reviewer's acceptance or denial of the proposal and the time reviewed.

The PTF will display a Proposal Review tab, noting the proposal title and two separate selections: Accept and Demote. By accepting the PTF, this moves the PTF forward in the approval chain. By demoting the PTF, this moves the PTF back to the previous reviewer.



Be sure to review each of the PTF tabs for accuracy and compliance. If any items seem incorrect, please work with your supervisor to correct or address.

Under the Certs & Review Tab, no data entry occurs. This tab is generated during the approval process and displays key questions that were presented to the PI and any co-PIs during the approval process and their corresponding answers. If any answers seem unusual, please work with your supervisor to review.



If everything is in order in the PTF, select Accept to move the approval chain forward. If anything is not correct, please work with your supervisor prior to demoting the PTF. Once the PTF has been approved, the status of the record will be moved to waiting to be mailed. Please see section Changing Statuses of Records for instructions of how to establish a Pending status.

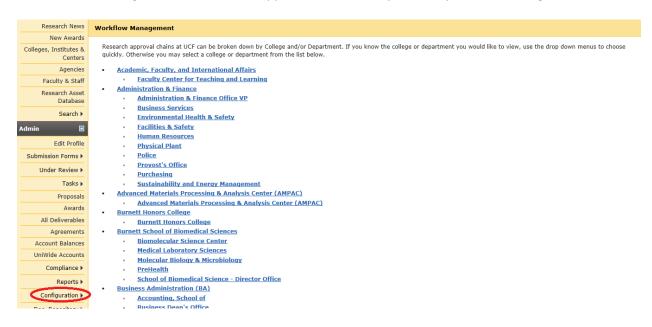
Note: Certain Colleges require a fully routed and approved PTF prior to the proposal submission. This includes PTFs that only have a Co-PI from those Colleges.

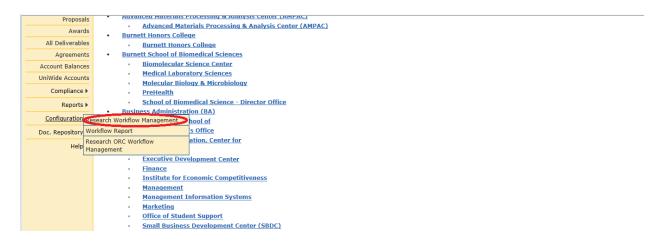
Currently the Colleges which require a fully routed PTF include:

- College of Engineering & Computer Science
- College of Nursing

§4 Proposal Transmittal Form (PTF) Workflow Configuration

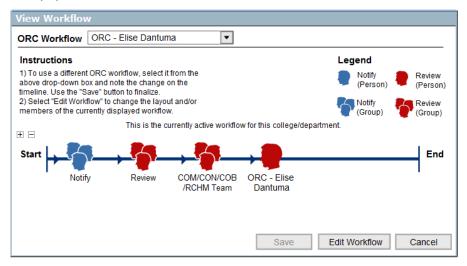
The workflow configuration outlines the approval chain for a specific Department/College or Institute.





From Research Workflow Management, select the Department/College or Institute chain that needs to be edited.

Workflow: Business Administration (BA)

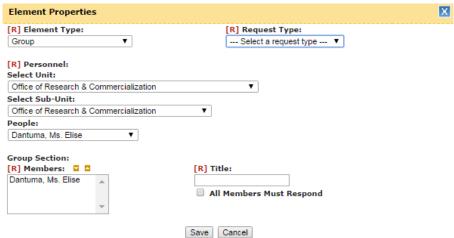


To edit the workflow:

- Select Edit Workflow
- Add an Undefined Element to the approval chain in the appropriate order placement
- Double click Undefined Element and a new window will pop-up



- Element Type: Identify if either a person or a a group will be reviewing
 - o Personnel: Identify the unit person(s) are affiliated with in ARGIS
 - If the Element Type is a Group, select each person to affiliate with the group and add them as a Member by clicking the down arrow icon. The person should display in the box below.
 - If any person needs to be removed from a group, select their name in the box and click the up arrow to remove them.
 - o The Group will need an affiliated Title (e.g. ORC Team COPHA)
 - If all Group members are required to respond to the review, select the check box "All Members Must Respond"



- Request Type:
 - Notify: denotes a person or group that will receive a notification when the associated PI/Co-PI is associated to the specific PTF. No action required.
 - Review: denotes a person or group that is required to review/approve when the associated PI/Co-PI is associated to the specific PTF.

Click Save button

*Helpful Tip: After completing your New/Updated Workflow, please be sure to check once again. The Workflow function does not always take the first time through.



B. Entering a New Award in ARGIS

Effective Date: 8/17/15 Last Updated: 8/17/15

Reason for Procedure

(3800 character length limit. Need a character count?)

When a proposal is formally awarded, the project record will require to be updated and additional data enter will be needed. The procedure below outlines the formal process of entering a new award in ARGIS.

One of the first steps in the award entry process is updating the project's status is ARGIS to reflect a status of "Funded".

§5 Changing a Record's status from Pending to Funded

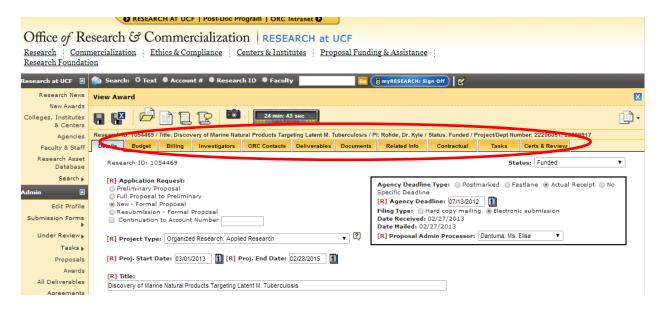
To change a status of a project, open the record in edit mode. From the Status drop-down menu, select "Funded". Proposal Edit Х • Research ID: 1054109 / Title: Safety Instruction and Competency Assessment for Laparoscopy / PI: Cendan, Dr. Juan / Status: Pending / Project/Dept Number Documents Related Info Research ID: 1054109 Status: Pending [R] Application Request: Agency Deadline Type: O Postmarked O Fastlane

Actual Receipt O No Specific Preliminary Proposal Full Proposal to Preliminary

New - Formal Proposal [R] Agency Deadline: 03/05/2012 Filing Type: Ard copy mailing Electronic submission Date Received: 06/08/2012 Resubmission - Formal Proposa Continuation to Account Number Date Mailed: 06/08/2012 ▼ ? [R] Proposal Admin Processor: [R] Project Type: Organized Research: Applied Research [R] Proj. Start Date: 09/01/2012 [R] Proj. End Date: 08/31/2016 [R] Title: Safety Instruction and Competency Assessment for Laparoscopy Research Attributes: CAREER I-4 In-House IUCRC Research Foundation REU URI surgery education, laparoscopy, simulation Subcontract proposal for the collaboration with the University of Florida. The University Of Central Florida College Of Medicine will provide a significant amount of work related to the grant including leadership with the use of simulation sessions, and psychometric evaluation and student performance analysis

A window will display that states "Changing this proposal to a 'Funded' status requires additional information. Select 'Ok' to load the new form, otherwise select 'Cancel'".

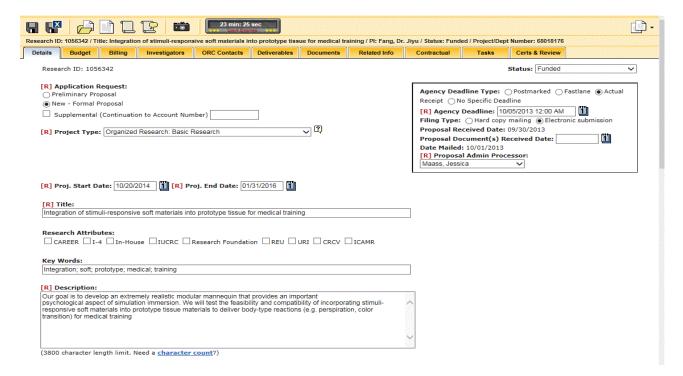
Once changed to "Funded" status, additional tabs are generated in the record for data entry. The record is now ready to be completed.



Each subsequent tab will require data entry and updating when an award is changed from Pending to Award. The following sections outline how to update and entry the information in ARGIS for a new award.

§5.1 Details Tab

Note: The majority of information under the Details tab is prepopulated with information entered during the PTF process. However, each section should be re-considered during the awarding process to ensure that it is complete and accurate. Please see "Entering and Approving PTF," guideline for clarification on any sections not outlined below.



Project Start/End Date

If the period of performance has changed since the proposal submission, update the project start and end dates to synch with the award terms and conditions.

Proposal Sponsoring Agency

Pre-populated from the PTF process. No data entry.

Award Sponsoring Agency

Although the agency was entered at the proposal stage (as the Proposal Sponsoring Agency), the Award Sponsoring Agency is required to be entered. It is possible for the proposal to be submitted to one agency and have another, different agency award the project. For example, a proposal will be submitted to the National Institutes of Health, but the award sponsoring agency may be the National Institute for Allergy and Infection Disease (an institute within the National Institutes of Health).

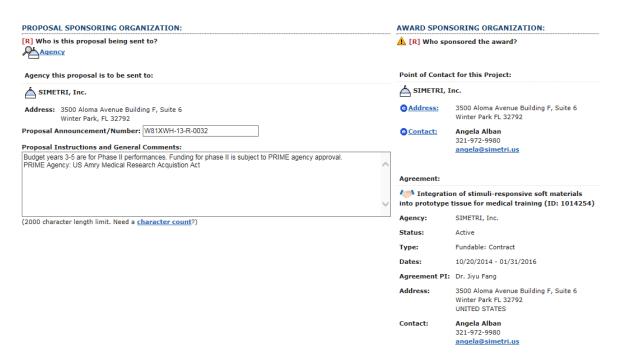
Select from the Agency List, when dealing with an External Sponsor. Select from the College/Dept List when dealing with an Internal Sponsor. For directions on how to look up an Agency, please see the Agency Look-up Section.

Note: Once the Award Sponsoring Organization has been selected and the Research ID (RID) has been associated to an Agreement record, these cannot be changed or modified!! If a change is required for either of these sections, a new account will have to be established.

Agreement

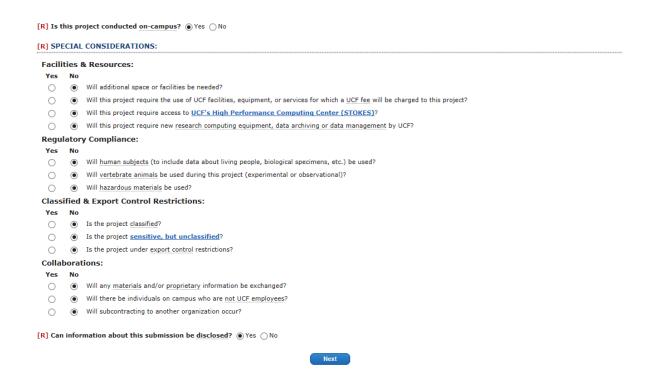
Each award is required to be affiliated with an agreement. The Agreement is the umbrella record that can house multiple awards.

To search for an Agreement to affiliate with the award or enter a new Agreement for the award, please see the Agreement ID creation section.



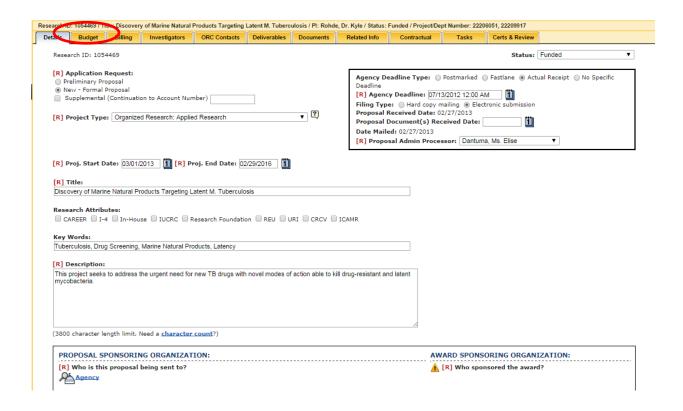
Special Considerations

Although the Special Consideration questions are entered at the PTF stage, a thorough re-review of the questions is important at the award stage to be sure the questions are correctly answered and to be aware of any compliance concerns affiliated with the project that may need to be considered prior to award setup (e.g. IRB, IACUC).



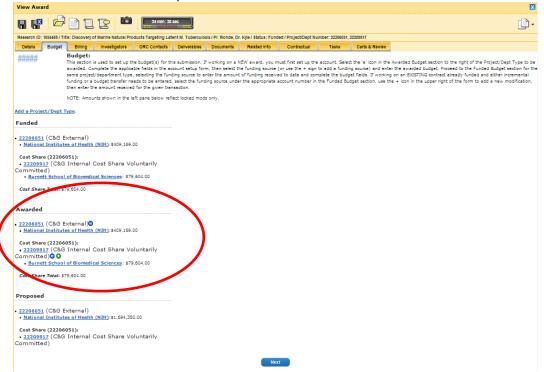
The Budget Tab displays the amount of funding the university has received and is estimated to receive under the awarded project.

To enter the budget information for the project, enter edit mode for the record and select the Budget Tab.

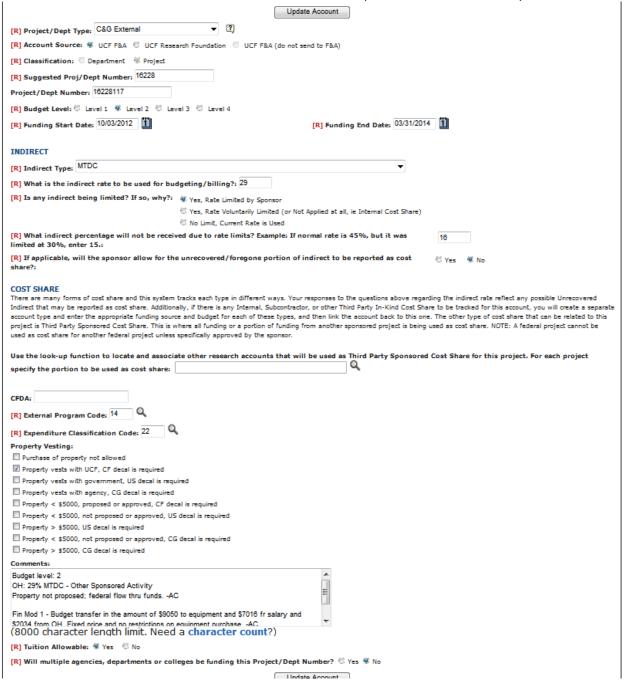


§5.2 Budget Tab

In the budget tab, under AWARDED, click on the ¹⁰ to enter in the account information. This information is used to set up the account and create the account number.



Each item entered or selected directs how the information is processed and where it is processed.



Project/Dept. Type

The project/department type indicates the source of funding for the project and is used for various reporting requirements. There are several sources of funds for projects:

- C&G External
 - Funding is being received from an agency outside of the university.
- C&G Internal Cost Share Required

- Cost Share that is required by the agency as a condition of award and reflected in the proposal to the agency. This type of project/department type must be tracked by the university and reported to the agency.
- C&G Internal Cost Share Voluntarily Committed
 - Cost Share that is not required by the agency or included in the proposal.
 This is not reported to the agency.
- Subcontractor Cost Share
 - Cost Share required by the agency but provided by a subcontractor. This
 must be tracked by the university and reported to the agency. Subcontract
 reports cost share value on the subcontractor's invoices.
- Third Party In-Kind Cost Share
 - Cost Share from a source outside of UCF that is not cash-based, such as
 donated time or a piece of equipment. While the third-party is not supplying
 the university with actual cash dollars, the donation does need to have a
 quantitative dollar amount assigned to the donation.
- External Funding (Reporting Only)
 - External funding tracked for university-wide reporting purposes only. Verify this option with your supervisor.
- C&G External (Major Construction Only)
 - Funding from an agency outside of the university for a major construction project.
- Program Income Additive
 - Program income is anticipated to be collected under the project and will be added to funds committed to the project by the awarding agency and used to further eligible project objectives.
- Program Income Cost Share
 - Program income is anticipated to be collected under the project and will be used to finance the non-federal share of the project.

Account Source

This data field indicates which entity will fiscally administer the project account and to whom to send the information for to establish an account number. There are two sources of accounts numbers: F&A and UCFRF.

- UCF F&A
 - Fiscal administration is managed by F&A. Account information is sent to F&A to establish an account number. This option is used for External awards, C&G Internal Cost Share Required and C&G Internal Cost Share Voluntarily Committed.
- UCF Research Foundation
 - Fiscal administration is managed by the UCFRF. Account information is sent to the UCFRF. Account numbers should already have been received from the UCFRF but by indicating UCFRF, information is visible in ARGIS.
- UCF F&A (do not send to F&A)
 - This option is used when the data is not required to be sent to F&A or UCFRF throughout the life of the award and is only for reporting purposes (e.g. Third-Party in-kind and Subcontractor cost share).

Classification

The classification code indicates what type of any account (Project or Department) is being established. All of the accounts established by ORC are Project accounts, therefore Project should always be selected. Department accounts are for department related expenses not associated with a sponsored project.

Suggested Proj/Dept Number

This indicates for F&A which college/department the project will be housed, and the source of funding for the project. Except for I-4 accounts, the first 4 digits are the college/department number of the PI and the 5th digit is the funding source. Please see the Business Manual for a listing of the departments and account codes.

Project/Dept Number

This is typically supplied by F&A or RF after they establish the account number based on the information entered.

Budget Level

This provides the level of detail required to monitor the spending on the award based on the project's award terms. The budget levels also determine when budget transfers are needed and what budget categories may require prior approval for transfers. Please see the Business Manual for details on each Budget Level.

Funding Start Date/Funding End Date

This indicates what date charges can start to accrue on the award and at what date accruing charges must cease.

Indirect Type

This indicates for F&A how the Indirect Cost is to be calculated and how it's calculated.

Note: Once an Indirect Type is selected for a project, is cannot be changed. If an incorrect Indirect Type is selected, a new account number will need to be established and all incurred costs will need to be transferred to the new account.

- MTDC new cap threshold at \$5k
 - This indirect type should be selected when the university's federally negotiated indirect rate is used for billing and budgeting purposes
- MTDC
- MTDC Capped
- MTDC less External IRB fees
- MTDC less PSC
- MTDC less PSC of training stipends, tuitions fees, room/board, summer non-res meals of program
- TDC
 - This indirect type should be selected when the indirect cost calculation is calculated based off of the total direct costs of the project, with no exclusions.
 - o TDC X %

- TDC Capped
- TDC less Recharge Centers 713912
- TDC less equipment
 - This indirect type should be selected when the indirect cost calculations is calculated based off of the total direct costs minus equipment.
- TDC less training stipends
 - This indirect type should be selected when the indirect cost calculations is calculated based off of the total direct costs minus training stipends.
- TDC less stipends
 - This indirect type should be selected when the indirect cost calculations is calculated based off of the total direct costs minus stipends.
- TDC less stipends, tuition, and fees
 - This indirect type should be selected when the indirect cost calculations is calculated based off of the total direct costs minus stipends and tuition and fees costs.
 - o (TDC stipends tuition and fees) X %
- TDC less subcontracts in 713950 and 713951
 - This indirect type should be selected when the indirect cost calculations is calculated based off of the total direct costs minus subcontracts
- TDC less equipment and subcontracts in 713950 and 713951
- TDC less subcontracts (in 713951, 713951, and 713956) and Recharge Centers 713912
- {31% X Wages} less Fringe & Misc Fringe Amounts
- PSC stipend only
- FEMA Admin fee allowance
- Salaries & Wages
 - This indirect type should be selected when the indirect cost calculation is calculated based off only the salaries and wages costs incurred.
- Patient and IRB preparation costs only
- Underwrite until contract executed
- Flat Fee

Indirect Rate and Limitation

If the indirect rate is limited (i.e. university federally negotiated rate is not being used), the rate to which the project is limited it should be noted here.

- Yes, Rate limited by Sponsor
 - o If the indirect rate is limited by the agency to a rate lower than the federally negotiated rate, select this option.
- Yes, Rate Voluntarily Limited (or Not Applied at all, ie Internal Cost Share)
 - If the indirect rate is being limited voluntarily by the university or is not being applied, select this option.
 - For example, if the account being established is an internal cost share account, the university will not charge indirect on itself, therefore, the rate is not applied to the account.
- No Limit, Current Rate is Used
 - If the currently federally negotiated indirect rate is used on the project, select this option.

If the indirect is limited (either by the agency or voluntarily), two additional questions will display and required to be answered.

- What indirect percentage will not be received due to rate limits?
 - The purpose of this question is to determine the amount of indirect costs the university is not recovering or foregoing, due to the limit. This is of importance for reporting purposes.
- If applicable, will the sponsor allow for the unrecovered/forgone portion of the indirect to be reported as cost share?
 - The purpose of this question is to alert F&A about the reporting of the unrecovered/foregone indirect costs to the agency.
 - o If the agency will allow this to be counted, select YES. If it is not allowable, select NO. If unsure which to select, see your supervisor for guidance.

Cost Share

If another project account is being used for cost share on the award, the project's account number will need to be entered. It's important to note this for two reasons. First, Compliance can include this in the cost share report to the agency. Second, so the project being used for cost share is not used as cost share for a separate project (i.e. project to project cost share).

CFDA

CFDA numbers are provided for any Federal grant funding and Federal flow through awards. The number should be listed on the award documents. F&A needs to track and report this, not only for Federal grant funding but also on any Federal contract funding. If one is not provided, search for the appropriate code at: https://www.cfda.gov/. If you are unable t find the appropriate CFDA for that agency enter the agency code and then "9" for dummy numbers. For example for the Army it will be 12.999 is not specific CFDA is listed. If it is not an assistance agreement, but is from federal appropriations then enter the dummy code 99.999.

External Program Code

Based upon what the science

Expenditure Classification Code

Property Vesting

The vesting rights under an award are important for ORC, F&A, Compliance and other university entities to be aware of. This information is reviewed by many areas and is especially important when it comes to tracking and decaling. Select the appropriate property vesting for the award.

- Purchase of property not allowed
 - When the purchase property is not allowed on the project
- Property vests with UCF, CF decal is required
 - When the purchase of property is allowable on the project and the property vests with the university at the end of the project. The CF decal indicates the property belongs to UCF.
- Property vests with government, US decal is required
 - When the purchase of property is allowable on the project and the property vests with the government at the end of the project. The US decal indicates the property belongs to the federal government.

- Property vests with agency, CG decal is required
 - When the purchase of property is allowable on the project and the property vests with the agency at the end of the project. The CG decal indicates the property belongs to the agency that sponsored the project.
- Property < \$5,000, proposed or approved, CF decal is required
 - When the agency classifies equipment with a useful life of greater than 1 year, an
 acquisition cost of < \$5,000, it has been approved either at the time of proposals or has
 been approved by the agency after the fact, and vesting is with UCF. The CF decal
 indicates the property belongs with UCF.
- Property < \$5,000, not proposed or approved, US decal is required
 - When the agency classifies equipment with a useful life of greater than 1 year, an
 acquisition cost of < \$5,000, it has not been approved either at the time of proposals or
 has been approved by the agency after the fact, and vesting is with the US government.
 The US decal indicates the property belongs with the federal government.
- Property > \$5,000, US decal required
 - When the purchase of property is allowable on the project and the property vests with the government at the end of the project. The US decal indicates the property belongs to the federal government.
- Property < \$5,000, not proposed or approved, CG decal required
 - When the agency classifies equipment with a useful life of greater than 1 year, an
 acquisition cost of < \$5,000, it has not been approved either at the time of proposals or
 has been approved by the agency after the fact, and vesting is with the agency. The CG
 decal indicates the property belongs with the agency.
- Property> \$5,000, CG decal required
 - When the purchase of property is allowable on the project and the property vests with the agency at the end of the project. The CG decal indicates the property belongs to the agency.

Comments

Comments no longer print on the 650 but they are a great resource for anyone who may take a look at the award. Include any pertinent information an individual would need to know about the project at a quick glance.

Tuition Allowance

Typically, tuition is an allowable cost on the account but in some situations (i.e. account for travel cost only), tuition is not allowable. Check the award terms for allowablitity of tuition costs. It's important to indicate this for the project, so F&A knows if this charge is allowable.

Will multiple agencies, departments or colleges be funding this project/Dept. Number?

If the account will be funding by more than one funding source, select yes. This prompts ARGIS to create a second funding source within the same account number. This is only used for internal accounts, such as cost share accounts.

Once the appropriate information is entered, click "Update Account" to save the information under the specific account.

EXAMPLES

Setting up an External funding account:

For an external funding account, enter in the information as follows:

- Project/Dept Type: C&G External
- Account Source: UCF F&AClassification: Project
- Suggested Proj/Dept Number: Enter the 4-digit department code and the 1-digit funding source
- Project/Dept Number: Leave blank
- **Budget Level:** Choose the appropriate budget level
- Funding Start and end date: Enter per agreement terms.
- **Indirect Type:** Choose the appropriate Indirect Type. Please note that the for awards with the current 46% indirect rate, select "MTDC-new w/cap threshold at \$5k"
- What is the indirect rate to be used for budgeting/billing: Enter in the appropriate rate
- Is any indirect being limited?: Mark if the project is being limited and by whom
- What indirect percentage will not be received due to rate limits?: To be completed only if the indirect rate is being limited. Add the difference between the federally negotiated rate and the limited rate.
- If applicable, will the sponsor allow for the unrecovered/foregone portion of indirect to be reported as cost share?: If unrecovered/foregone overhead is being used as part of a cost share commitment, then select yes; otherwise, select no.
- Use the look-up Function to locate and associate other research accounts that will be used as Third Party Sponsored Cost Share for this project: Use this only if using another sponsored account as cost share.
- **CFDA:** CFDA numbers are provided for any federal grant funding and the number should be listed on the award. The university still needs to track federal contract funding with a CFDA # and if one is not provided, search for the appropriate code here: https://www.cfda.gov/. It is important to have the first two digits prior to the decimal and if the last 3 are unknown, use 999 as default. For example: 20.999.
- **External Program Code:** Use the magnifying glass to view the drop-down list. Select the appropriate code.
- **Expenditure Classification Code:** Use the magnifying glass to view the drop-down list. Select the appropriate code.
- **Property Vesting:** Select the appropriate option per the agreement terms.
- **Comments:** Comments should follow the following template:

Equipment xxxxxx... list if equipment was proposed, not proposed, if it needs prior approval, etc.

List other relevant requirements, for example if foreign travel needs prior approval or rebudgeting needs prior approval.

Fin Mod 0 (Date): represents funding in the amount of \$XXX. Then any comments for which the funding may be for a specific purpose (ex: travel only, student stipends, etc...).

– ADD INITIALS

Tuition Allowable: Select whether tuition is allowable on the project account, per the agreement terms.

• Will multiple agencies, departments, or colleges be funding this Project/Dept Number?: Typically, No will be selected on external funding accounts.

Setting up a Cost-Share account:

For an internal cost share account, enter the information as follows:

- Project/Dept Type: Select if the Cost Share is required or voluntary committed
- Account Source: UCF F&AClassification: Project
- Suggested Proj/Dept Number: Enter in the 4-digit department code and the 1-digit funding source of "9" for university source.
- Project/Dept Number: Leave blank
- Funding Start and end date: The start/end dates should be the same as the main account.
- Indirect Type: Select "TDC" for the indirect type.
- What is the indirect rate to be used for budgeting/billing: Enter 0%
- Is any indirect being limited?: Select "Yes, Rate Voluntarily Limited (or Not Applied at all, ie Indirect Cost Share).
- What indirect percentage will not be received due to rate limits?: List the difference between the Cost Share rate (0%) and the rate on the main award. For example, if the sponsor limits indirect to 10% OH on the main award, then 10% should be listed here as well.
- If applicable, will the sponsor allow for the unrecovered/foregone portion of indirect to be reported as cost share?: If allowed to use unrecovered/foregone overhead as part of the Cost Share commitment, select yes; otherwise, select no.
- To what account is this cost share account associated?: Select the main account in the drop-down box.
- CFDA: Leave blank.
- **External Program Code:** Use the magnifying glass to view the drop-down list. Select the appropriate code.
- **Expenditure Classification Code:** Use the magnifying glass to view the drop-down list. Select the appropriate code.
- Property Vesting: Select the appropriate option per the agreement terms.
- **Comments:** Comments should follow the following template:

Equipment xxxxxx... list if equipment was proposed, not proposed, if it needs prior approval, etc.

A cost share account will follow all of the terms and conditions of the award so list other relevant requirements, for example if foreign travel needs prior approval or re-budgeting needs prior approval.

Fin Mod 0 (Date) represents match funding in the amount of \$XXX. Then any comments for which the funding may be for a specific purpose or are including foregone overhead (ex:\$XXX in direct cost and \$XXX in foregone OH). — ADD INITIALS

- **Tuition Allowable:** Unless specified in the award, this is typically yes.
- Will multiple agencies, departments, or colleges be funding this Project/Dept Number?: If
 costs share funding will come from multiple departments, select Yes. For example, ORC will
 provide 50% cost share and the CECS will provide the other 50%. Select Yes, and choose both
 ORC and CECS as the sources. This allows the addition of multiple budget funding pages.

Setting up an RF Account:

(Note: if there are any tuition or salary costs associated with an UCFRF award, this is paid through the UCF HR office and an External account number will also need to be created)

For a UCFRF account, enter the information as follows:

- Project/Dept Type: C&G External
- Account Source: UCF Research Foundation
- **Classification:** Project
- Suggested Proj/Dept Number: UCFRF will provide the UCFRF account number via email. Enter it here.
- Project/Dept Number: UCFRF will provide the UCFRF account number via email. Also enter it here.
- Budget Level: Choose the appropriate budget level
- Funding Start and end date: Enter per agreement terms.
- Indirect Type: Choose the appropriate Indirect Type. Please note for awards with the current 46% indirect rate, select "MTDC-new w/cap threshold at \$5k"
- What is the indirect rate to be used for budgeting/billing: Enter in the appropriate rate
- Is any indirect being limited?: Mark if the project is being limited and by whom
- What indirect percentage will not be received due to rate limits?: To be completed only if the
 indirect rate is being limited. Add the difference between the federally negotiated rate and the
 limited rate.
- If applicable, will the sponsor allow for the unrecovered/foregone portion of indirect to be reported as cost share?: If using unrecovered indirect costs as part of a cost share commitment, then select yes; otherwise, select no.
- Use the look-up Function to locate and associate other research accounts that will be used as Third Party Sponsored Cost Share for this project: Use only if using another sponsored account as cost share.
- **CFDA:** As a general rule, RF will not accept Federal funding so this will typically be blank. On the rare case that they do receive Federal funding, please follow the instructions for locating the CFDA number found in setting up a typical external funding account.
- **External Program Code:** Use the magnifying glass to view the drop-down list. Select the appropriate code.
- **Expenditure Classification Code:** Use the magnifying glass to view the drop-down list. Select the appropriate code.
- **Property Vesting:** Select the appropriate option per the agreement terms.
- **Comments:** Comments should follow the following template:

Equipment xxxxxx... list if equipment was proposed, not proposed, if it needs prior approval, etc.

List other relevant requirements, for example if foreign travel needs prior approval or rebudgeting needs prior approval.

Fin Mod 0 (Date): represents funding in the amount of \$XXX. Then any comments for which the funding may be for a specific purpose (ex: travel only, student stipends, etc...).

– ADD INITIALS

- Tuition Allowable: Select No, as tuition must go under the UCF account number.
- Will multiple agencies, departments, or colleges be funding this Project/Dept Number?: Typically this will be No.

Setting up a Companion PS Account for RF Projects:

(Note: Only tuition and salary costs associated with an UCFRF award should be entered here. All other costs should be entered under the RF account)

For a companion PS account for an UCFRF project, enter the information as follows:

- Project/Dept Type: C&G External
- Account Source: UCF F&AClassification: Project
- Suggested Proj/Dept Number: Enter in the 4-digit department code and the 1-digit funding
- **Project/Dept Number:** Leave Blank
- **Budget Level:** Choose budget level "3"
- Funding Start and end date: Enter per agreement terms.
- Indirect Type: Choose "TDC" as the Indirect Type
- What is the indirect rate to be used for budgeting/billing?: Enter "0%"
- Is any indirect being limited?: Select "No Limit, Current Rate Used"
- What indirect percentage will not be received due to rate limits?: Add the difference between the federally negotiated rate and the limited rate.
- If applicable, will the sponsor allow for the unrecovered/foregone portion of indirect to be reported as cost share?: If using unrecovered indirect costs as part of a cost share commitment, then select yes; otherwise, select no.
- Use the look-up Function to locate and associate other research accounts that will be used as
 Third Party Sponsored Cost Share for this project: Use only if using another sponsored account
 as cost share.
- **CFDA:** As a general rule, RF will not accept Federal funding so this will typically be blank. On the rare case that they do receive Federal funding, please follow the instructions for locating the CFDA number found in setting up a typical external funding account.
- **External Program Code:** Use the magnifying glass to view the drop-down list. Select the appropriate code.
- **Expenditure Classification Code:** Use the magnifying glass to view the drop-down list. Select the appropriate code.
- Property Vesting: Select "Purchase of Property Not Allowed"
- **Comments:** Comments should follow the following template:

Equipment xxxxxx... list if equipment was proposed, not proposed, if it needs prior approval, etc.

List other relevant requirements, for example if foreign travel needs prior approval or rebudgeting needs prior approval.

Fin Mod 0 (Date): represents funding in the amount of \$XXX. Then any comments for which the funding may be for a specific purpose (ex: travel only, student stipends, etc...).

– ADD INITIALS

- **Tuition Allowable:** Select the appropriate selection per the terms of the agreement.
- Will multiple agencies, departments, or colleges be funding this Project/Dept Number?: Typically this will be No.

Setting up an I-4 or In-house award:

Enter in the information as follows:

Project/Dept Type: C&G Internal

Account Source: UCF F&AClassification: Project

- Suggested Proj/Dept Number: Enter in the 4-digit college/department code and the 1-digit funding source which is "9" for in-house awards. For I-4 awards, the 4-digit college/department code to be used is "2009".
- **Project/Dept Number:** Leave blank
- **Budget Level:** Choose the appropriate budget level
- **Funding Start and end date:** Enter per acceptance letter or proposal. For I-4 awards, these dates should run concurrently with the Industry Award.
- **CFDA:** CFDA numbers are provided for any federal grant funding and the number should be listed on the award. UCF still needs to track federal contract funding with an CFDA # and if one is not provided, search for the appropriate code at: https://www.cfda.gov/. It is important to have the first two digits prior to the decimal and if the last 3 are unknown. "999" can be used as a default. For example: 20.999.
- **External Program Code:** Use the magnifying glass to view the drop-down list. Select the appropriate code.
- **Expenditure Classification Code:** Use the magnifying glass to view the drop-down list. Select the appropriate code.
- **Property Vesting:** Select the appropriate option per the agreement terms.
- **Comments:** Comments should follow the following template:

If this is an I-4 award, list which industry account this is a match to.

Equipment xxxxxx... list if equipment was proposed, not proposed, if it needs prior approval, etc....

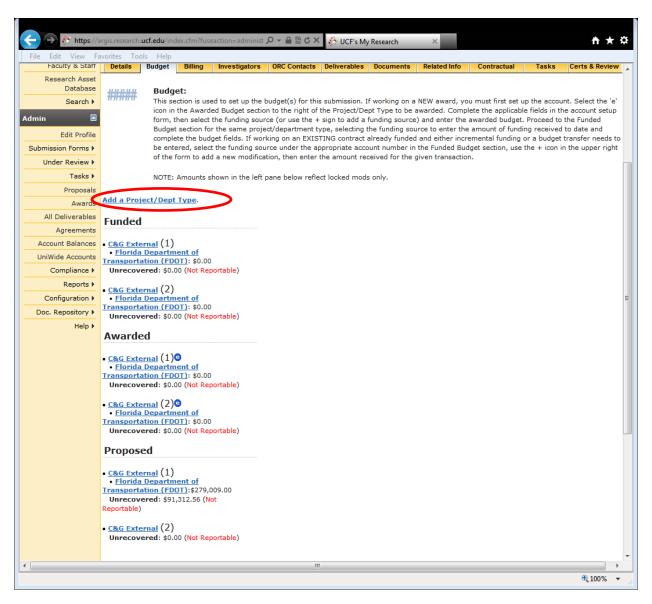
List other relevant requirements, for example if foreign travel needs prior approval or rebudgeting needs prior approval.

Fin Mod 0 represents funding in the amount of \$XXX. Then any comments for which the funding may be for a specific purpose (ex: travel only, student stipends, etc...). – ADD INITIALS

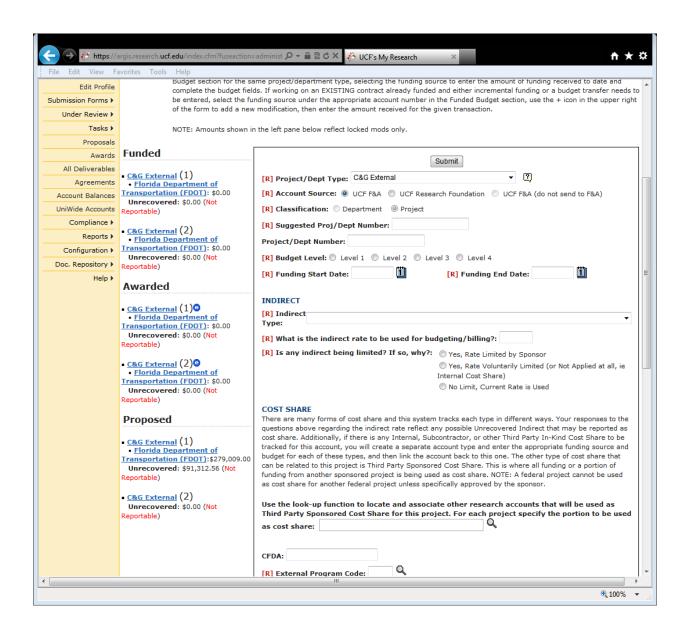
- Tuition Allowable: Unless specified in the award, this is typically yes.
- Will multiple agencies, departments, or colleges be funding this Project/Dept Number?: Typically this will be No.

Adding Additional Accounts Under One RID

Sometimes, multiple accounts will need to be established under one RID. If the separate account was not established during the PTF process, the additional account can be entered under the Budget Tab. To add, click on the "Add a Project/Depart Type" link.

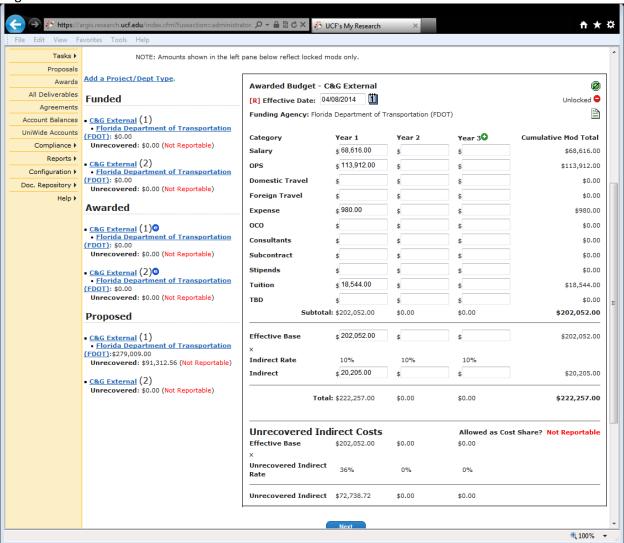


Once selected, the account information screen will appear. Enter the applicable account information, per the information provided above.



Budget Funding Page

For each account, budget information is required to be entered. After clicking "Update Account" under the account information section, the system automatically switches to the Awarded Budget Funding Page.

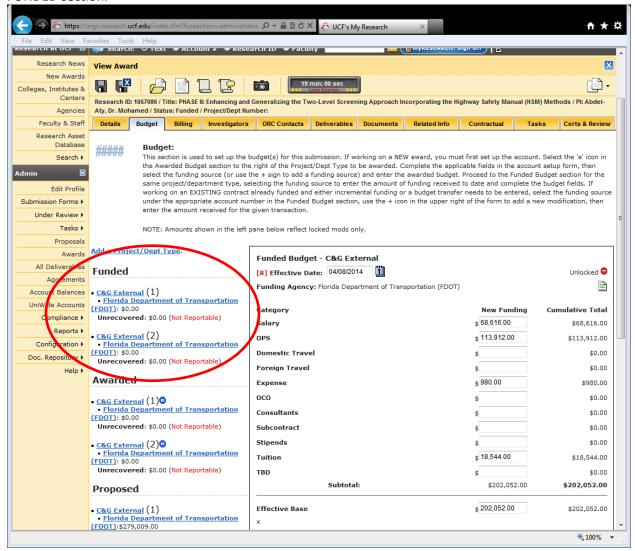


Enter the budget per the agreement, proposal or internal budget.

Helpful Hints:

- **Effective Date:** Enter the date the budget information is inputted into the system (i.e. today's date).
- OCO is the equipment category.
- Effective Base: The Effective Base is the amount of the award on which the indirect rate is calculated. For example, if the indirect rate for the project is based on the university's federally negotiated rates, the Effective Base would reflect the total direct costs minus tuition, equipment over \$5,000 and subcontract values greater than \$25,000.
- Indirect costs are automatically calculated using the Effective Base entered.

Once this information is added, <u>DO NOT</u> click "Next". Instead, select the proper account under the FUNDED section.



Under the Funded budget section, enter in the same budget information as entered under the Awarded section, and click "Next". This will automatically move the record to the Billing Tab.

DO NOT FORGET TO SAVE THE RECORD!

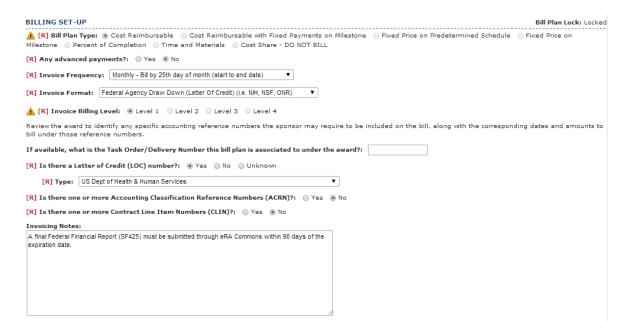
§5.3 Billing Tab

The Bill Plan was established to enable F&A to create customers, create bills, receive billing information from other PeopleSoft and non-PeopleSoft applications, create inter and intra unit bills, automate invoicing, and adjust invoices. The Bill Plan also defines the financial reporting requires under each award. This allows one or more accounts to be associated with a single Bill Plan, even if the accounts are under separate RIDs.

There are three components to the Bill Plan: Billing Set-up, Billing Agency/Location, and Financial Reporting.

Billing Set-up

The Billing Set-up contains key information for F&A in regards to the type of award, how to invoice, information to be listed on the invoice and any other key details about the invoicing process under the award.



Bill Plan Type

The Bill Plan Type identifies how payment is to be received from the agency for work performed under the award. There can only be one Bill Plan Type per account number. If your award has multiple payment schedules that different in type and structure of payment, separate account numbers may be needed.

Once a Bill Plan Type is locked, it cannot be changed. If a different Bill Plan Type is required after is has already been locked, a new account number will need to be established with the correct Bill Plan Type. Therefore, it is crucial to select the appropriate Bill Plan Type at the initial account setup stage.

Types of Bill Plans available:

- Cost Reimbursable: Cost Reimbursable awards are structured where the account receives revenue based on allowable costs incurred on the project. This means that UCF first incurs costs and then submits an invoice to the agency for payment. The award is issued on the basis of an estimate of the costs of performing the scope of work and is often arrived at by negotiation between the funding agency and UCF. A reconciliation of costs incurred is required by the agency throughout the award and at expiration.
- Cost Reimbursable with Fixed Payments on Milestone: Cost Reimbursable with Fixed Payments on Milestone awards are similar to a Cost Reimbursable project, however, UCF receives fixed payments from the agency at a specific milestone. UCF will receive a fixed payment and at the end of the period of performance a reconciliation will be done and a reimbursement will be issued to the sponsor for any over payment.
- Fixed Price on Predetermined Schedule: Fixed Price on Predetermined Schedule awards are structured where an account receives revenue based on a fixed amount on a specific schedule. A fixed price agreement provides an agreed upon amount of funding for a specific deliverable or milestone. A reconciliation of costs incurred and funding received are not required by the agency.
- Fixed Price on Milestone: Fixed Price on Milestone awards are structured where an account
 receives revenue based on a fixed amount when a specific milestone is achieved. A fixed price
 agreement provides an agreed upon amount of funding for a specific milestone being met. A
 reconciliation of costs incurred and funding received are not required by the agency and UCF
 will retain any residuals or absorb any additional costs outside of the contract amount.
- Percent Completion: Percent Completion award is when UCF receives a specified amount of payment for the percentage of work completed.
 - PI is responsible for notifying F&A regarding percent completion per invoice. If the PI notifies ORC make sure to send an e-mail to F&A notifying them of the percent complete and to go ahead and invoice.

• Time and Materials

- Time-and-Materials Contracts include:
 - Direct Materials which mean any materials that enter directly into the end product, or that are used or consumed directly in connection with the furnishing of the end product or service.
 - Hourly Rate means the rates prescribed in the contract for payment for labor that meets the labor category qualifications of a labor category specified in the contract
 - Direct Labor hours shall be at specified fixed hourly rates that include wages, fringe benefits, and overhead (fully burdened). Actual costs for materials (except as provided for in FAR 31.205-26 (e) and (f) shall be cost reimbursable.
- Cost Share DO NOT BILL- Cost Share DO NOT BILL award is when UCF is committing cost share to the project. The account receives revenue via ID transfer from an internal UCF account.

Advanced Payments

Advanced payments are payments to be received prior to the execution or effective date of the award.

Note: Do not use this function unless otherwise advised.

Note: Depending on the type of Bill Plan Type selected, information for the Invoice Frequency, Invoice Format, and Invoice Billing Level may vary. The system has built-in logic for determining which information may or may not be needed, provided the type of Bill Plan Type. Because of this, items listed below may or may not be available for entry.

Invoice Frequency

The Invoice Frequency filed defines how frequently and by what date F&A is required to invoice the agency. The award document should specify how often and by when UCF is to invoice.

Invoice Format

Some agencies have a specific format in which UCF needs to submit invoices. The level of detail of the invoice will be dictated by the Bill Plan type for the award and who the agency is.

Invoice Billing Level

(Only available under Cost Reimbursable, Percent Completion, and Time and Materials Bill Plan Types)
The Invoice Billing Level specifies for F&A how granular the allowable costs incurred on the project need to detail on the invoice to the agency. Level 1 is the simplest while Level 4 is the more granular level.

Categories of costs breakout on invoice per Invoice Billing Level:

- Level 1: Direct, Indirect
- Level 2: Labor, Expense, Equipment, Indirect
- Level 3: Salary, OPS, Expense, Equipment, Indirect
- Level 4: Salary, OPS, Consulting, Subcontract, Direct Expense, Travel, Equipment, Tuition, Stipend, Indirect

Examples of the different Invoice Billing Level invoice formats can be found in the Business Manual.

Once an Invoice Billing Level is locked, it cannot be changed. If a different Invoice Billing Level is required after it has already been locked, a new account number will need to be established with the correct Invoice Billing Level and all incurred costs will need to be journal transferred to the new account number. Therefore, it is crucial to select the appropriate Invoice Billing Level at the initial account setup stage.

Letter of Credit

A Letter of Credit (LOC) is a specific type of electronic payment request the university submits through an agency specific web portal. This method of payment is also referred to as "Draw Down". Agencies that have LOC with UCF include, but are not limited to, NIH, NSF, and DoD.

If the agency has an established LOC with UCF, select YES and the type of the LOC should be selected from the drop down menu. Please see supervisor if a LOC for an agency is unknown.

Accounting Classification Reference Number

An Accounting Classification Reference Number (ACRN) is a specific code, made up of either alpha or alpha-numeric that assigns a specific contract to an accounting classification and appropriation.³

If there is an ACRN assigned to the award, select YES and enter the ACRN #, the description of the ACRN should be list the associated Purchase Request Number, the start and end date and the threshold amount for that specific ACRN.

Contract Line Item Number

A Contract Line Item Number (CLIN) is a unique code assigned to a contract to describe each line's service or supply that is being contracted for.⁴

If there is a CLIN assigned to the award, select YES and enter the CLIN #, the description of the CLIN should list the associated Purchase Request Number, the start and end date and the threshold amount for that specific CLIN.

Is there one or more Accounting Classification Reference Numbers (ACRN)?: Yes

PO #	Description	Start Date	End Date	Threshold Amount			
AA	0010461350	03/24/2014	03/23/2018	\$131,500.00			
AC	0010461350	03/24/2014	03/23/2018	\$42,520.00			
AB	0010461350	03/24/2014	03/23/2018	\$100,000.00			
AE	0010461350	03/24/2014	03/23/2018	\$100,000.00			
AD	0010461350	03/24/2014	03/23/2018	\$150,000.00			
The second second		DESCRIPTION OF THE PROPERTY OF	la de transportación de la constancia de l	21.2004/VAX.00.0004/AUG-0-0-0-0-0-0-0-0-0-0-0-0-0-0-0-0-0-0-0			

Is there one or more Contract Line Item Numbers (CLIN)?: Yes

	PO #	Description	Start Date	End Date	Threshold Amount				
- 12	0001	0010461350		03/23/2018	\$4,905,229.00				
į,									

Invoicing Notes

The information provided under the Invoicing Notes should provide additional information to F&A about properly invoicing the agency. The included information should be in addition to what is detailed in the Bill Plan and should not repeat information already entered. Should you have specific requests or information, an email should be sent to the F&A contact as these notes do not always get sent to the specific F&A contact.

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³ CER 204 7107

⁴ Center for Army Lessons Learned. United States Army Combined Arms Center. Retrieved 2014: http://usacac.army.mil/cac2/call/thesaurus/toc.asp?id=35554

Billing Agency/Location

The Billing Agency and Location sections contain key information for F&A for invoice payment, including in what form the university will receive the money, who to send invoices to, and any other contacts for billing under the award.



Payment Method

There are two types of payment method the university receives: check and Electronic Fund Transfer (EFT). EFT is an electronic exchange of money between accounts (whether within the same institution or between two separate institutions).

Whom Invoice Directed

When F&A generates an invoice, they need to be aware of whom to send the invoice to. To indicate who the invoice needs to be directed to, Click the "Agency Lookup" link and follow the instructions as prescribed in the Agency Look-Up Section.

Search for the Agency either through the rolodex feature or searching for it in the search bar.

Note: Using a part of the agency name or the acronym will work. If the agency is not in the system, click the hotelist? icon to enter the Agency information.

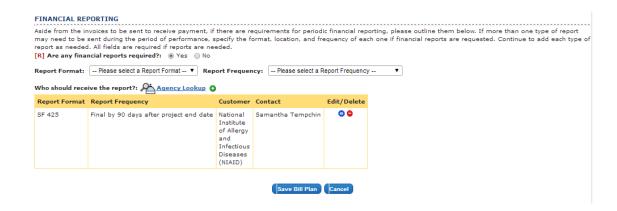
Once the Agency is found, select it and find the correct address and point of contact. If the address is not found, select the hot in icon to enter the address information. If the point of contact is not listed for the address, click the hot in icon to add the point of contact information.

Other Billing Correspondence

If the award specifies that the invoice should be submitted to more than one person, enter the non-financial point of contact's information into the Other Billing Correspondence section.

Financial Reporting

Some awards require the submission of periodic financial reports for the review of award expenditures on the project. If the award specifies financial reporting as a requirement, information about the reporting should be entered within this section of the Bill Plan.



Select the appropriate Report Format and Report Frequency from the drop down menus. Using the same instructions as prescribed in the Agency Look-Up Section, search for the appropriate agency, address and point of contact to whom the financial report should be sent.

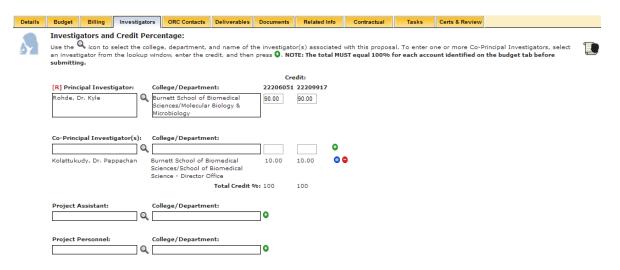
§5.4 Investigators Tab

The purpose of the Investigators Tab is to identify the PI and any co-PIs for the award, distribute the credit splits between the PI and co-PIs, document the efforts of each PI and co-PI, and document the indirect percentage split between the colleges and departments working on the award.

The tab is divided into three sections: Investigators and Credit Percentage, Awarded Effort, and College/Department Indirect Percentage.

Investigators and Credit Percentage

The Investigators and Credit Split section defines who the PI and co-PIs are on the project. In addition, it distributes the percentage of credit each individual has on the award.



The PI and co-PI information should auto-generate from the PTF information, entered at the proposal stage. If any information needs to be updated, update accordingly. *Note: The credit split between the PI and co-PIs needs to total 100%.*

To add a co-PI, project assistant or project personnel to the award, search for the investigator using the icon and select the appropriate college and department, until the investigator is found. Once selected, click the icon to associate the investigator to the record. If information on a co-PI needs to be edited or removed, click the icons, respectively. *Note: No credit split can be associated with a person affiliated as a project assistant or project personnel.*

Awarded Effort

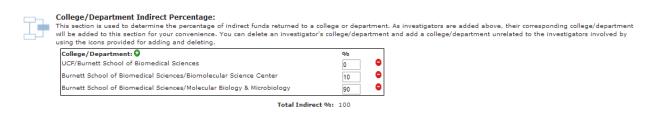
The Awarded Effort section defines the effort information for each investigator on the project.



To enter effort information for an investigator, select the investigator's name from the drop down menu. Enter the percentage of effort, and the associated start and end date for the period of effort. To add the effort information, click the ocn. If the effort information for the investigator will be the same as entered in the PTF, select the "import effort" icon to autogenerate the effort.

College/Department Indirect Percentage

The College/Department Indirect Percentage section defines the overhead distribution to each of the colleges and departments associated with the award.



The indirect split should auto-generate from the PTF information, entered at the proposal stage. If any information needs to be updated, update accordingly. If the indirect percentages are updated at the award stage make sure you have the appropriate approvals from the various departments/colleges for the new percentages. *Note: The indirect split between the colleges and departments needs to total 100%.*

§5.5 ORC Contacts Tab

The purpose of the ORC Contacts Tab is to identify the ORC and F&A points of contact associated with the award.



C&G Manager

The C&G Manager is the person who reviewed, negotiated, and executed the award and has general oversight responsibilities for all award actions.

C&G Coordinator

The C&G Coordinator is the person who is responsible for the day-to-day processing or award actions. Multiple C&G Coordinators may be associated with an award. To add a C&G Coordinator to the award, select their name from the drop down menu and click the occurrence.

Proposal Administrator

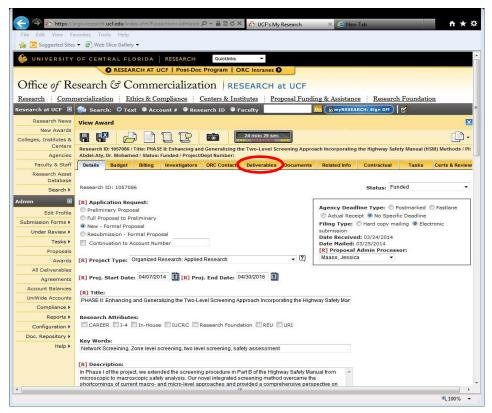
The Proposal Administrator is auto populated from the PTF, entered at the proposal stage. This field should not be changed.

Financial Contact

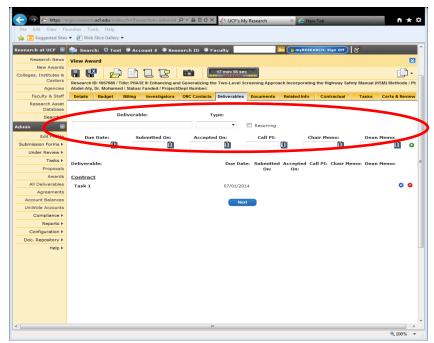
The Financial Contact is the F&A point of contact who will have financial oversight of the award.

§5.6 Deliverables Tab

Typically, when the university receives research funding, the funding agency requests specific deliverables in return for funding the project. This can include, but is not limited to, scientific progress reports, financial reports, data generated, or widgets created. Deliverables are tracked in ARGIS through the Deliverable tab of a project record. To list the deliverables for a project, open the record in edit mode and click the DELIVERABLE ta



In the Deliverable tab, the following information is requested:



Deliverable

Enter the name of the deliverable that is required (e.g. scientific report, financial report)

Type

Various types of deliverables may be required by the agency. Select the type of deliverable required. The types of deliverables able to be selected are the following:

- **Contract:** A contract deliverable is typically a scientific deliverable that the PI is responsible for completing during the performance of the project. This may include a scientific report, data report or the creation of a widget. It can be tied back to the contractual obligation in the award.
- **Financial:** A financial deliverable is typically a financial report the agency requires the university to submit to monitor finances of the award. The deliverable is typically completed by F&A. By marking a deliverable as "financial", a reminder is sent to the F&A point of contact on the project about the need to complete the deliverable.
- Internal: An internal deliverable is typically a reminder to the Contract Manager on the project to
 complete a certain deliverable for the project. For example, if an IRB approval letter is needed
 prior to the start of Year 2 of the project, an internal deliverable can be established to remind the
 Contract Manager to contact the IRB for the approval letter or check to see if the PI has
 completed the IRB process.
- **Sub-Contract:** A subcontract deliverable is typically a deliverable a subcontractor to the award is required to submit to the university. No notification is issued to the subcontractor.
- **RF Financial:** A RF financial deliverable is typically a deliverable for the UCFRF financial point of contact to complete a required financial deliverable for the agency (e.g. financial report).

Due Date

Enter the date the deliverable is due to the agency.

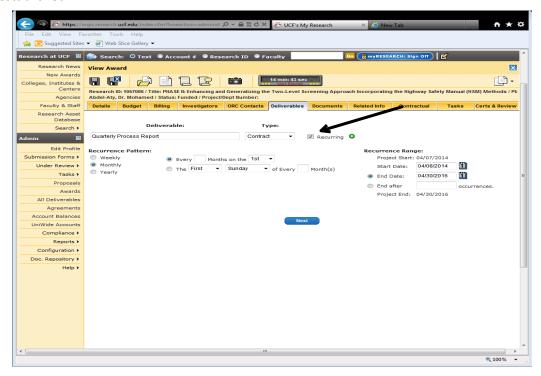
Click on the $^{\odot}$ to add the Deliverable to the record. Note: Unless the deliverable has already been received, data entry is not required for the following sections:

- Submitted On
- Accepted On
- Call PI
- Chair Memo
- Dean Memo

The sections above are used when either the Deliverable is received or when followed up upon by ORC.

Setting up a Recurring Deliverable

For deliverables that will be recurring, the recurring button can be used to set up the schedule. For example, if yearly scientific reports will be required to be submitted, a recurring deliverable may be established.



Type in the Deliverable and Type, and select the Recurring button which will allow the scheduling of additional times for the same deliverable.

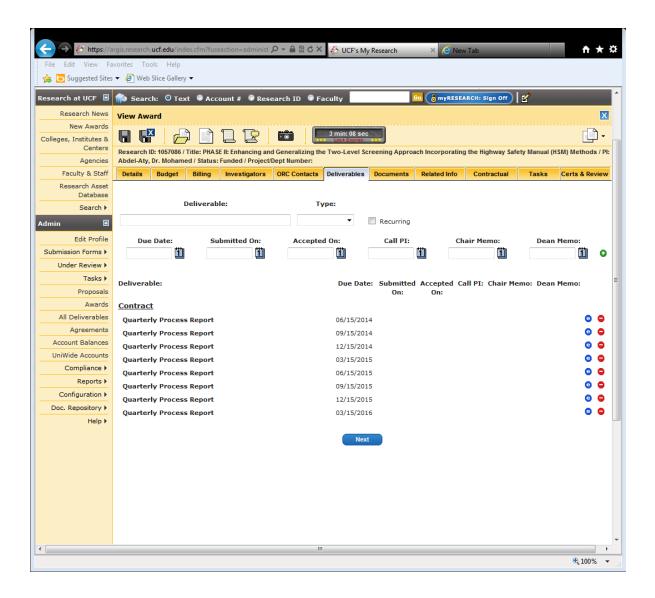
- Select the recurrence pattern for the deliverable (i.e. weekly, monthly, or yearly)
- Select which week, month or year and the date the deliverable is due. For example, if a
 quarterly report is required that is due on the 15th:



A specific day of the week may also be selected.

- Select the range for the recurrence. Be cautious to take in to consideration the terms of the award. For example, if the award requires quarterly reports every 3 months starting on June 30, however, the award starts in April, the start date will need to be adjusted to June 30 in order to have the correct due dates for all deliverables. A specific number of occurrences may be selected in lieu of a time period.
- Click the oto add the recurring deliverable.

Below is an example of a requirement for Quarterly Progress Reports every quarter starting June 15:



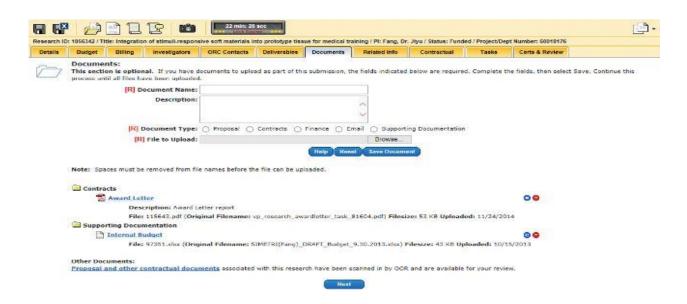
Once all Deliverables are entered, click Next to move to the next tab of the record- Documents

§5.7 Documents Tab

The Documents Tab is where pertinent documents can be attached to the record to be used by other users. No working papers or internal ORC documents should be uploaded here.

To upload a document, enter a name for the document. Next, select the type of document being uploaded. Next, click the Browse button to search for the document. Once selected, click

the Save Document icon to save the document to the record.



Note: ORC's official document repository is Tera. Therefore all documents should be scanned and uploaded into Tera for retention.

Once completed, click Next to move to the next tab in the record – Related Info.

§5.8 Related Info Tab

The Related Info Tab is important for awards since it captures all non-funded agreements, other research projects, inventions and invention disclosures that are related to the specific award. If a change is made to an award, this may have significances for a related agreement, research project, disclosure or invention.



To affiliate another research project or agreement with the award, click the appropriate

Browse to Locate Research

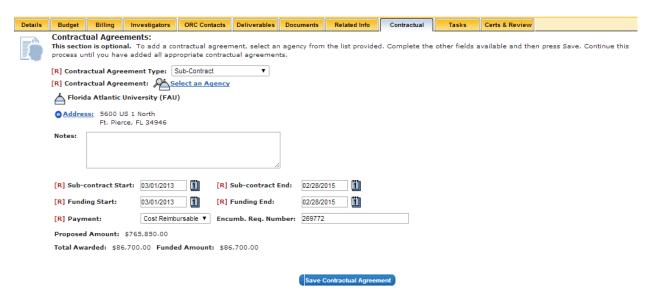
Browse to Locate Agreement

button. Search and select the appropriate record to affiliate. The title of the research project or agreement will display in the Name box. Once selected, click the button. The record will now display under the corresponding type of record.

Note: C&G staff is not able to associate disclosures or inventions with research projects. The Tech Transfer team is the responsible party for properly associating disclosures and inventions to research projects.

§5.9 Contractual Tab

The purpose of the Contractual Tab is to capture any funded, third-party contractual agreements in connection to the award.



Contractual Agreement Type

The Contractual Agreement Type identifies what type of relationship the third-party has with the university and subsequently, the award.

Types of Contractual Agreements:

- **Subrecipient:** An entity that has agreed to work in collaboration with the UCF PI to perform a substantive portion of the programmatic effort on an award.
- Consultant: An individual or business whose expertise is required to perform the project.
 Services are temporary and special or highly technical.
- Collaborator: An individual participating on the project.
- Other Significant Contributor: An Individual who has committed to contribute to the scientific
 development or execution of the project, but are not committing any specified measurable
 effort (i.e., person months) to the project. These individuals are typically presented at "effort of
 zero person months" or "as needed." 5

Note: The selections "Collaborator" and "Other Significant Contributor" are new designations that are part of the System-to-System programming taking place. As of now, these selections should not be used.

Contractual Agreement Agency

The Contractual Agreement Agency identifies who UCF has a contractual relationship with. Using the same instructions as prescribed in the Agency Look-Up Section, search for the appropriate agency and address for the contractual legal entity.

⁵ Office of Extramural Research. National Institutes of Health. http://grants.nih.gov/grants/glossary.htm#0. Retrieved on 04/22/2014.

Sub-contract/Consultant Start and End Date

The sub-contract/consultant start and end dates should reflect the start and end dates of the subcontract agreement in place. This may or may not differ from the funding start and end date of the subcontract/consultant agreement.

Funding Start and End Date

The funding start and end dates should reflect the period for which the subcontractor/consultant has spending authority. This may or may not be different from the sub-contract/consultant start and end date.

Payment

The Payment entry identifies what type of financial agreement we have in place with the subcontractor/consultant.

The types of Payment that can be selected include:

- **Cost Reimbursable:** The sub-contract/consultant incurs costs and then submits an invoice to UCF for Payment. They are paid for only those costs properly incurred and approved. A reconciliation of costs incurred is required by UCF throughout the award and at the end of the award.
- **Fixed Price:** The sub-contract/consultant receives revenue based on a fixed amount on a specific schedule as detailed in the subcontract agreement. A fixed price subcontract agreement provides an agreed upon amount of funding for a specific deliverable or milestone. A reconciliation of costs incurred and funding received are not required by the agency.
- **NA (Not Applicable)**: The not applicable selection is not a functional selection. Do not use this selection.

Proposed Amount

The Proposed Amount field is auto-populated from what was entered at the proposal stage in the PTF for that contractual agreement. No action is required on this field.

Total Awarded

The Total Awarded field should reflect the total dollar value of the subcontract/consultant agreement.

Funded Amount

The Funded Amount field should reflect the current period of funding available to the subcontractor/consultant. If a subcontract/consultant is incrementally funded, only the value of the subcontractor/consultant's spending authority should be reflected in this field.

Encumber. Req. Number

The Encumbrance Requisition Number is the PO number that has been established for the subcontractor in PeopleSoft.

If the PO number is unknown, enter TBD. If the PO number is known, enter the PO number in the system, excluding the initial zeroes.

Note: If the PO number is unknown, it is important to enter the PO number for the subcontractor into ARGIS when the PO is established. Make a note to update the record when the PO is established.

Once the required information is entered for the contractual agreement, click button to save the information in the tab. The contractual agreement should now display in the Contractual Tab for the award.

§6 Saving the Record and Hand-Off

This completes the award entry process in ARGIS. Click to save the record or click to save and close out of the record.

Hand the file to your supervisor for review and locking.

§7 Establishing a Pre-Award Account

When ORC C&G Staff establish an account prior to the execution of an award they will need to complete a two-step process.

Establishing the Initial Pre-Award Account

Account entry procedures for all tabs should follow the same procedures as a standard account setup with the following exceptions:

BUDGET TAB

- Indirect Type: "Underwrite until the contract is executed"
 - Important Note: the Indirect Type Underwrite must be used solely for Pre-Award Accounts and for no other purpose.
- **Comments:** Comments should follow this template:
 - Fin Mod 0 (Date): establishes a Pre-Award account in the amount of \$XXX established at risk of the [College/Department.] Please add any additional details where appropriate. – ADD INITIALS
- Financial Mod Type: New
- **Budget:** should include both direct and indirect costs, even though indirect costs will not calculate in the PeopleSoft account as long as the project has Underwrite selected as Indirect Type.
- **Indirect Rate**: Enter the Indirect Rate to be used for budgeting/billing per normal procedures. This field cannot change after the account has been established and must be entered as normal.

BILLING TAB - The Bill Plan can be entered during the Pre-Award Account process in order to save the record. However, **do not lock the bill plan** until the award is fully negotiated and executed.

Modifying the Pre-Award Account

Account entry procedures for modifying an account number should follow the same procedures (i.e. Fin Mod type selection) as a standard modification. However, the Indirect Type must remain as "Underwrite."

Modifying the Account Once the Award is Executed

Once the award is fully executed, C&G Staff should review the record* in its entirety and edit any details necessary, specifically:

BUDGET TAB

- Indirect Type: Change from <u>Underwrite</u> to the appropriate Indirect Type applicable to the
 executed award. This is a critical change: if Underwrite is kept, then no indirect costs or
 miscellaneous fringe will calculate on the PeopleSoft account, and the awarded dollars will
 not be included in ORC award reports.
- **Comments:** should follow this template:
 - Fin Mod 1 (Date): the award has been fully executed and the budget added is the difference of the award value and the budget established in Fin Mod 0.
- Financial Mod Type: Supplemental/Incremental
 - The budget added through this Fin Mod is the difference of the award value and the budget originally established. The total ARGIS budget should equal the award value. Do not simply add the full award value at this stage or there will be an excess authorized budget.

BILLING TAB – Lock the pending Bill Plan in compliance and consideration of the terms of the fully executed award

*Note: In addition to the ARGIS record, the appropriate ORC Staff should also review the financial expenditures and TERA documents to ensure any Pre-Expenditure Review conducted or decisions made prior to award execution are still in compliance with the final terms of the award.



C. Entering Financial Modifications/Financial Modification Types

Reason for Procedure

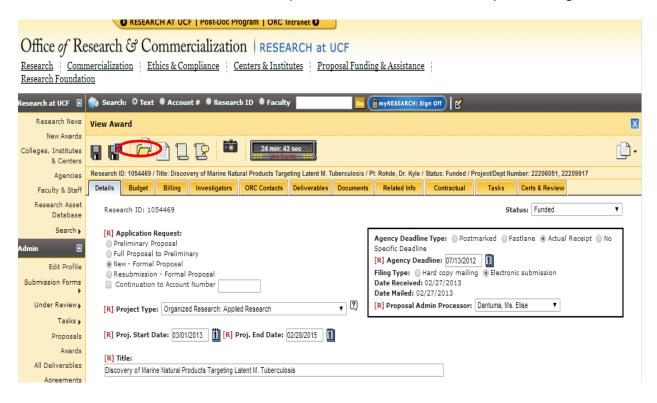
Financial Modifications are used when you need to add or adjust the funding to an award. There are several different types of financial modifications (new, transfer in/out, de-obligation, etc.) but the process to complete them is the same no matter the type. The modification is completed in ARGIS but then it is integrated into PeopleSoft which is the official financial record for the University. Unless a financial modification is completed there will not be a change to the budget.

Note: New funding is discussed in Award set up.

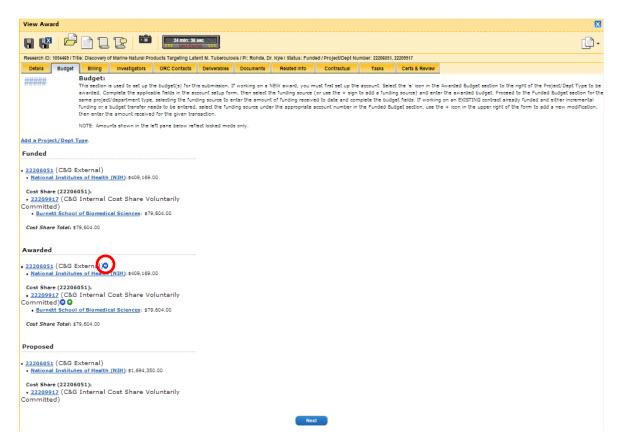
Procedures

Fin Mod to add additional funding:

To initiate a financial modification in ARGIS, open the record in edit mode and open the Budget Tab.



Within the Budget Tab, click the icon to update the account information.



Under the account information, depending on what financial modification being performed on the project, update information accordingly.

For additional funding, under the Comments section, the following details should be noted:

Fin Mod #: This mod represents additional funding in the amount of \$(add dollar value). -[Initials and Date]

Once completed, click Update Account then click on the account under the Funded.



Click on the onext to the Mod # to create a new fin mod:





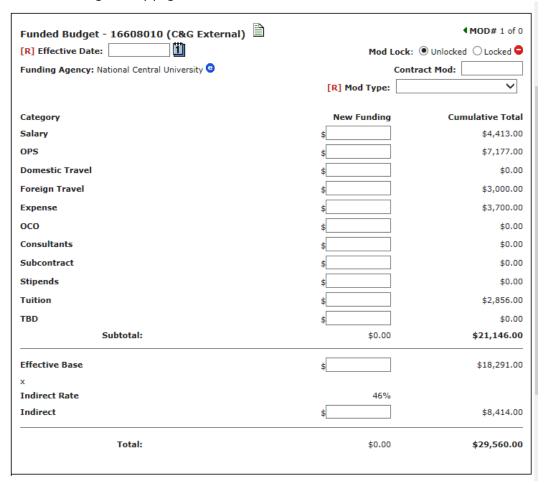
12:00 AM

Funding Agency: US Department of Energy @

Contract Mod: 2

Mod Type: Budget Reallocation

Under the Budget entry page:



- Enter the date of the transfer.
- Then select the transfer type. For additional funding, you would select from the following actions: Supplemental/Incremental, Continuation or Transfer in.
 - o Supplemental/Incremental: This should be selected when you are receiving additional funding within the same budget period.
 - o Continuation: This should be selected when you are receiving additional funding for the next budget period or have received a continuation award.
 - Transfer In: This action is connected to the Transfer Out function. You cannot select a Transfer In until a Transfer Out action is completed. More on this process further in this section.

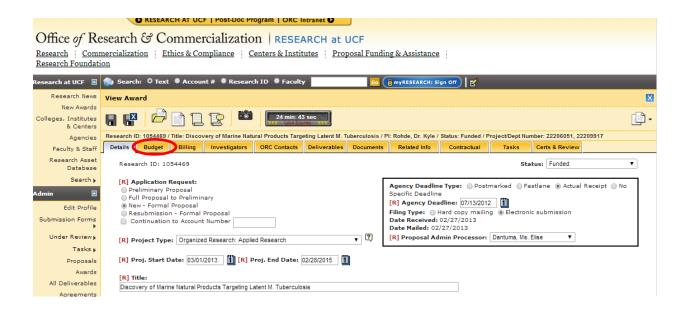
Then enter the additional funding in accordance with the internal budget.

Once completed, save the record to save the unlocked modification.

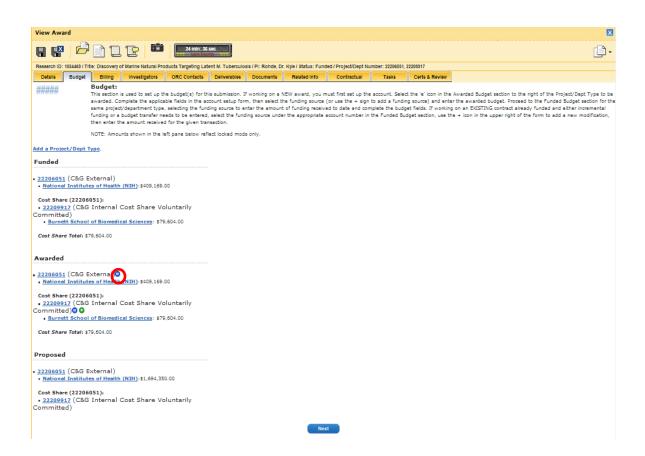
You will then repeat this process in the "Awarded" section.

Budget Reallocation:

In ARGIS, open the record in edit mode and open the Budget Tab.

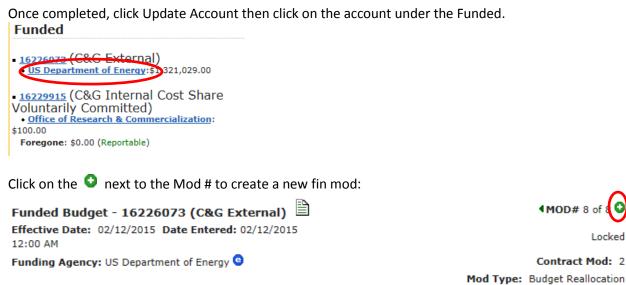


Within the Budget Tab, click the icon to update the account information.



For a budget reallocation, under the Comments section, the following details should be noted:

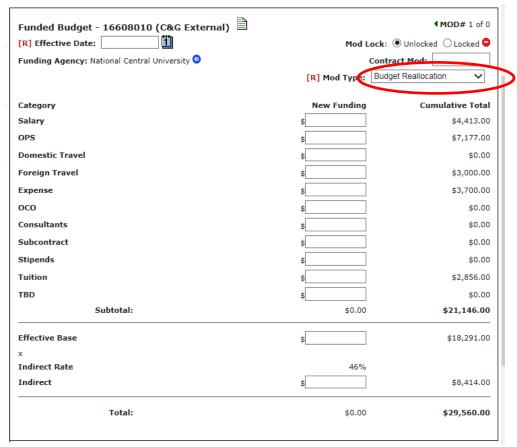
Fin Mod #: This mod represents a budget transfer in the amount of XXX from XXX category to XXX category. Budget Transfer is allowable per (e.g. Agency Approval dated XXX or per Award, Article XX Financial)- [Initial & Date]



Under the Budget entry page:

4MOD# 8 of

Contract Mod: 2



- Enter in the effective date.
- Select Mod type. For a budget reallocation, select "Budget Reallocation" from the drop down menu.
- De-obligate from the category you are reducing budget from and re-obligate in the category you want to see the money added to.

Note: Please consider the budget level when determining the need for a budget transfer. For example, a budget level 1 should not require a budget transfer from SAL to OPS or vice versa. Refer to Budget Positions only to ensure there is adequate funding in each category which is being de-obligated. Finally, when calculating indirect (when transferring between overhead and non-overhead bearing categories) ensure that you use the Effective Base to come to a zero balance – do not simply subtract from the indirect category.

Once completed, save the record to save the unlocked modification.

NOTE: You will not complete this process under the Awarded section as this does not effect the awarded amount!

Transfer Out/Transfer In:

To transfer funds from one account to another, either within the same RID or between RIDs, you must do a Transfer Out/Transfer In.

NOTE:

- Only CMs with locking capabilities are able to processes Transfer Out/Transfer Ins.
- Transfer Out/Transfer Ins must be on the same project type (i.e C&G external to C&G external)
- Both actions must be the same dollar amount.
- The Transfer Out action must be entered and locked before you can perform the Transfer In action.

In ARGIS, open the record in edit mode of the account you are transferring the funds OUT of and open the Budget Tab. This action must be completed and processed before you can process the related Transfer In action.

Within the Budget Tab, click the icon to update the account information. View Award X 24 min: 35 tec · • Research ID: 1054465 / Title: Discovery of Marine Natural Products Targeting Latent M. Tuberculosis / Pl: Rohde, Dr. Kyle / Status: Funded / Project/Dept Number: 22266051, 22269912 Details Budget Billing Investigators ORC Contacts Deliverables Documents Related Info Contractual Tasks Certs & Review Budget:
This section is used to set up the budget(s) for this submission. If working on a NEW award, you must first set up the account. Select the 'e' icon in the Awarded Budget section to the right of the Project/Dept Type to be awarded. Complete the applicable fields in the account setup form, then select the funding source (or use the + sign to add a funding source) and net the awarded budget. Proceed to the Funded Budget section for the awarded budget. Proceed to the Funded Budget section for the same project/department type, selecting the funding source or the awarded budget section. If working on an EVISTIM control state distret incremental funding or a budget transfer needs to be entered, select the funding source under the appropriate account number in the Funded Budget section, use the + icon in the upper right of the form to add a new modification, then enter the amount received for the given transaction. NOTE: Amounts shown in the left pane below reflect locked mods only Add a Project/Dept Type 22206051 (C&G External)

• National Institutes of Health (NIH):\$409,169.00 Cost Share (22206051):
• 22209917 (C&G Internal Cost Share Voluntarily Burnett School of Biomedical Sciences: \$79,604.00 Cost Share Total; \$79,604.00 Awarded • 22206051 (C&G Extern 1)0 • National Institutes of Health (NIH):\$409,169.00 Cost Share (22206051): • 22209917 (C&G Internal Cost Share Voluntarily committed) nool of Biomedical Sciences: \$79,604.00 Cost Share Total; \$79.604.00 22206051 (C&G External)

National Institutes of Health (NIH):\$1,694,350.00 Cost Share (22206051):
• 22209917 (C&G Internal Cost Share Voluntarily Committed)

For a Transfer Out, under the Comments section, the following details should be noted:

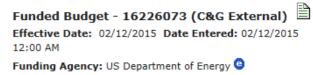
Fin Mod #: This mod represents a transfer out in the amount of XXX to account (or RID) XXX.

Transfer was required to (enter explaination)- [Initial & Date]

Once completed, click Update Account then click on the account under the Funded.



Click on the onext to the Mod # to create a new fin mod:



4MOD# 8 of **€**Locked

Contract Mod: 2
Mod Type: Budget Reallocation

Under the Budget entry page:

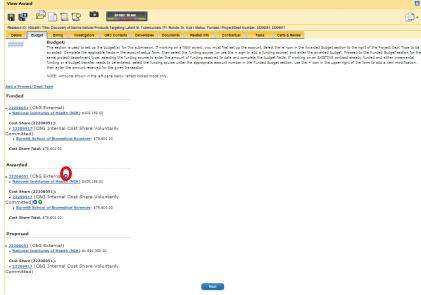
- Enter in the effective date.
- For Mod type, select "Transfer Out" from the drop down menu.
- De-obligate from the category you are reducing budget from.

NOTE: You will also repeat this process under the Awarded section as this action may effect the awarded amount.

Transfer In:

In ARGIS, open the record in edit mode of the account you are transferring the funds IN to and open the Budget Tab.

Within the Budget Tab, click the ¹⁰ icon to update the account information.



For a Transfer In, under the Comments section, the following details should be noted:

Fin Mod #: This mod represents a transfer In in the amount of XXX from account (or RID) XXX. Transfer was required to (enter explaination)- [Initial & Date]

Once completed, click Update Account then click on the account under the Funded.



Click on the onext to the Mod # to create a new fin mod:

Funded Budget - 16226073 (C&G External)

Effective Date: 02/12/2015 Date Entered: 02/12/2015

12:00 AM

Funding Agency: US Department of Energy @

4 MOD# 8 of 8

Locked

Contract Mod: 2

Mod Type: Budget Reallocation

Under the Budget entry page:

- Enter in the effective date.
- For Mod type, select "Transfer In" from the drop down menu. A new screen when then option with a list of accounts in which you may select to transfer your funds from. *Note: If your account is not listed then you are unable to proceed at this time.*
- Add the funds to the categories that you are increasing.

Once completed, lock and save the record.

NOTE: You will also repeat this process under the Awarded section as this action may effect the awarded amount.

Carry Over

Unobligated funds remaining at the end of the budget period requiring sponosr approval to spend in the next budget period.

Within the Budget Tab, click the icon to update the account information. [[[24 min: 55 sec · • Research ID: 1054469 / Title: Discovery of Marine Natural Products Targeting Latent M. Tuberculosis / PI: Rohde, Dr. Kyle / Status: Funded / Project/Dept Number: 22206051, 22209917 Details Budget Billing Investigators ORC Contacts Deliverables Documents Related info Contractual Budget:

This section is used to set up the budget(s) for this submission. If working on a NEW award, you must first set up the account. Select the 'e' icon in the Awarded Budget section to the right of the Project/Dept Type to be amanated. Complete the applicable fields in the account setup form, then select the funding source (a new the + sign to a budget fields. If working on an EXISTING contract already funded Budget section for the same project/department type, selecting the funding source (a new the + sign to a set funding source) and enter the avanded budget. Proceed to the Funded Budget section for the same project/department type, selecting the funding source to enter the amount of funding received to date and complete the budget fields. If working on an EXISTING contract already funded and either incremental funding source are supported to the funding source and either incremental funding source are supported for the given transaction. NOTE: Amounts shown in the left pane below reflect locked mods only Add a Project/Dept Type. 22206051 (C&G External) · National Institutes of Health (NIH):\$409,169.00 Cost Share (22206051); • 22209917 (C&G Internal Cost Share Voluntarily Burnett School of Biomedical Sciences: \$79,604.00 Cost Share Total; \$79,604.00 22206051 (C&G External) es of Health (NIH):\$409,169.00 Cost Share (22206051): &G Internal Cost Share Voluntarily Burnett School of Biomedical Sciences: \$79,604.00 Cost Share Total: \$79,604.00 Proposed . 22206051 (C&G External) National Institutes of Health (NIH):\$1,694,350.00 Cost Share (22206051): • 22209917 (C&G Internal Cost Share Voluntarily

For a Carry Over, under the Comments section, the following details should be noted:

Fin Mod #: This mod represents a carry over in the amount of XXX from account (or RID) XXX. This Carry Over action is required to (enter explaination)- [Initial & Date]

Once completed, click Update Account then click on the account under the Funded.



Click on the onext to the Mod # to create a new fin mod:





12:00 AM

Funding Agency: US Department of Energy @

Contract Mod: 2

Mod Type: Budget Reallocation

Under the Budget entry page:

- Enter in the effective date.
- For Mod type, select "Carry Over" from the drop down menu. Add the funds to the categories that you are increasing.

Once completed, lock and save the record.

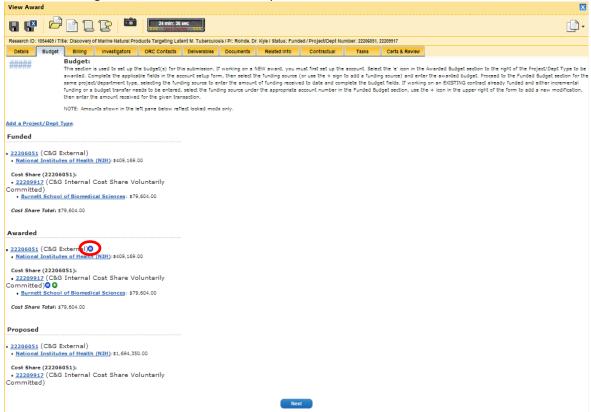
NOTE: You will also repeat this process under the Awarded section as this action may effect the awarded amount.

Deobligation from Agency

An agency requested reduction in funding that was previously awarded. This can result from PI transfer to another institution and relinquishment of award, or negative adjustment in project scope and budget.

In ARGIS, open the record in edit mode of the account you are de-obligating and open the Budget Tab.

Within the Budget Tab, click the icon to update the account information.



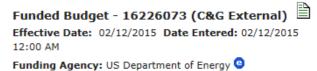
For a De-obligation, under the Comments section, the following details should be noted:

Fin Mod #: This mod represents a deobligatin in the amount of\$ XXX per the request of the agency due to (insert reason, i.e. change in scope, PI transfer, etc.)- [Initial & Date]

Once completed, click Update Account then click on the account under the Funded.



Click on the onext to the Mod # to create a new fin mod:



4MOD# 8 of 8

Contract Mod: 2

Mod Type: Budget Reallocation

Under the Budget entry page:

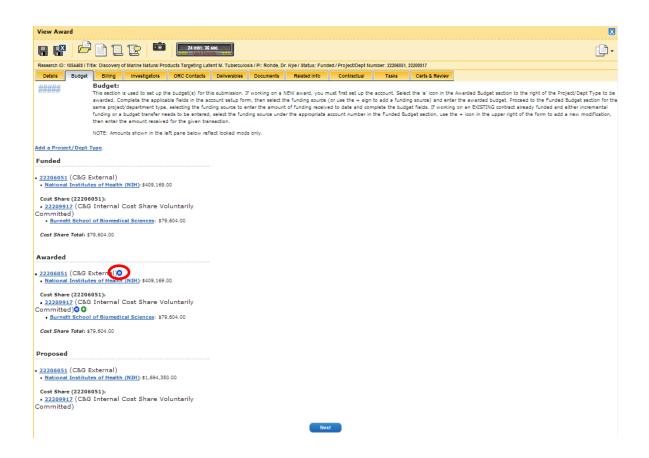
- Enter in the effective date.
- For Mod type, select "Deobligation from Agency" from the drop down menu.
- De-obligate from the category you are reducing budget from.

NOTE: You do not need to repeat this process under the Awarded section as this actionwill not effect the awarded amount.

Data Correction

A positive or negative adjustment to an earlier funding action to correct an user data entry error. This will always be a negative number.

In ARGIS, open the record in edit mode of the account you are correcting and open the Budget Tab. Within the Budget Tab, click the icon to update the account information.



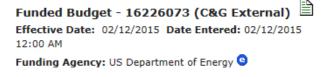
For a data correction, under the Comments section, the following details should be noted:

Fin Mod #: This mod represents a correction in the amount of\$ XXX due to an input error. - [Initial & Date]

Once completed, click Update Account then click on the account under the Funded.



Click on the onext to the Mod # to create a new fin mod:





Locked

Contract Mod: 2

Mod Type: Budget Reallocation

Under the Budget entry page:

Enter in the effective date.

- For Mod type, select "Data Entry Correction" from the drop down menu.
- De-obligate from the category you are correcting.

NOTE: You may need to repeat this process under the Awarded section if the action that you are correcting will effect the Awarded section (i.e. New, Supplemental/Incremental, or Continuation).

NOTE: All Data Entry Corrections for the fiscal year need to be in the system on or before June 30.

NEXT STEP (ALL FIN MODS):

Once the mod is locked, print the 650 and send the file for scan and upload.

Exclusions/Exceptions

There are certain types of functions that will not be possible to process:

- -The "new" mod type will only be available on Fin Mods 0.
- -You cannot transfer between an unreportable (cost share) and reportable (agency or program income) account. In this case, you would de-obligate from one and apply the funds as New, Supplemental/Incremental or Continuation.

Failure to Comply

Failure to process financial modifications could result in requisitions being denied, invoices that are unable to be sent, overhead and payroll issues. It is important that these actions be processed in a timely manner.

ARGIS User Manual

D. Processing a No Cost Extension (NCE) in ARGIS

Effective Date: 8/17/15 Last Updated: 8/17/15

Reason for Procedure

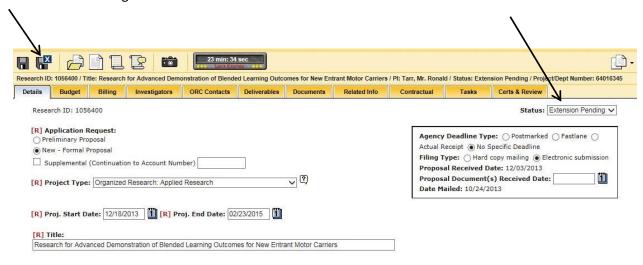
This procedure outlines the process of updating the end date for a project in ARGIS when a no-cost extension is Agency approved.

Procedures

§8 Waiting on Agency Approval

When a faculty member is requesting a no cost extension (NCE) and awaiting formal approval from the Agency on a funded project, the project's status in ARGIS needs to be updated to reflect a status of "Extension Pending".

To change a status of a project, open the record in edit mode. From the Status drop-down menu, select "Extension Pending".



Once changed to "Extension Pending" status, click "Save and Close."

§9 Agency Approval Received

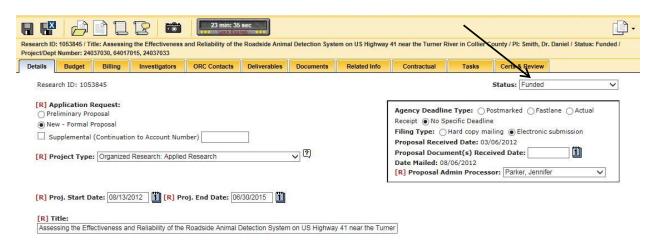
Once the no cost extension (NCE) has been formally approved by the Agency the research record and Agreement record must be updated to reflect the new end date.

Updating the research record:

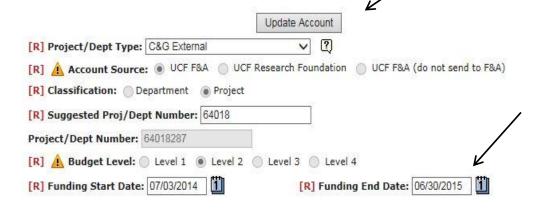
Open the project record is in edit mode, select from the Status drop-down menu, and place the record into "Funded," status.

Update the end date on the following tabs:

1. Details tab – found under Project End Date field



2. Budget tab - The end date on the Budget tab can be updated by clicking the blue "e", updating the Funding End Date, and selecting "Update Account."

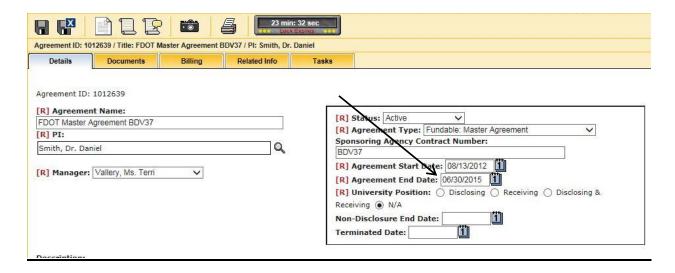


- 3. Billing tab Ensure that the invoicing schedule is updated to reflect the NCE if the Project is on a Fixed Price or predetermined schedule.
- 4. Investigator tab Ensure that the effort section is updated. You must update the end date for each individual listed in the effort section.

Awarded Effort: This section is used to identify the percentage of effort each person has proposed and/or been awarded to charge a given project/department number. Differing percentages of effort may be entered for altering time periods. 64018287: Funded Project Period 07/03/2014 - 06/30/2015 Personnel: Effort %: Start Date: Select Personnel Collapse to hide personnel effort McClellan, Mrs. Tammie 7.00 07/03/2014 06/30/2015

- 5. Deliverables tab Ensure any deliverables impacted by the extension are modified
- 6. Contractual tab Ensure any contractual relationships are updated to reflect the revised end date, if applicable to the contractors.

Updating the Agreement Record: Open the agreement record in edit mode and change the Agreement End Date.



Failure to Comply

Failure to update a record in ARGIS, may result in a premature closing of a Project while a NCE is pending. Once an account has been closed on any level, it cannot be re-opened.

Business Procedure Manual

E. Entering Agreements in ARGIS

Effective Date: 8/17/15 Last Updated: 8/17/15

Reason for Procedure

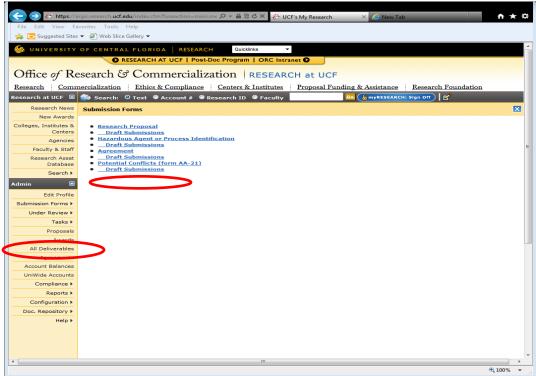
The University handles several agreement types. Agreements are either fundable (i.e. have a monetary value associated), or are non-fundable. This procedure outlines the process for entering an Agreement into ARGIS, for both agreement types.

Procedures

Every Agreement needs to be entered and tracked in ARGIS. Fundable Agreements entered in ARGIS must be affiliated with a fundable Project. Non-Fundable Agreements do not require affiliation with a fundable Project. Fundable Agreements are entered as part of the entering a new award process.

§ 10 Starting an Agreement

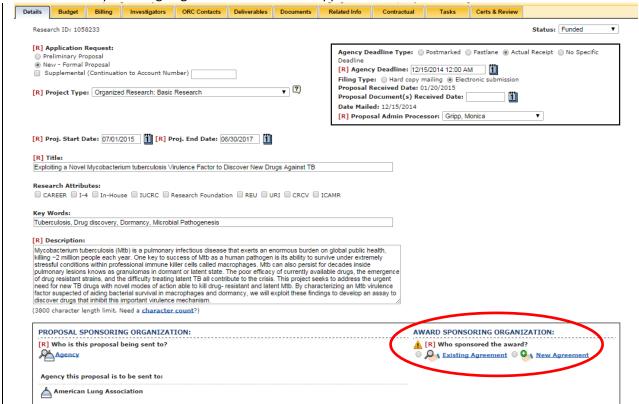
§10.1 Starting a non-fundable Agreement



To start a Non-Fundable Agreement in ARGIS, select "Agreement" under the Submission Forms tab, on the left hand side of the menu bar, under the Admin Section.

§10.2 Starting a Fundable Agreement:

Select the correct RID and vie the RID details tab in edit mode. Change the status to funded and the below Award Sponsoring Organization section will appear.



When entering fundable agreements, this is typically performed when entering the new award in the research record. The following outlines how to enter a new fundable-agreement through the award setup process.

After locating the research record for the new award and have changed the status of the record to "Funded", a new agreement will be able to be linked under the Award Sponsoring Organization on the Details Tab:

Select "New Agreement" if a new agreement needs to be entered.

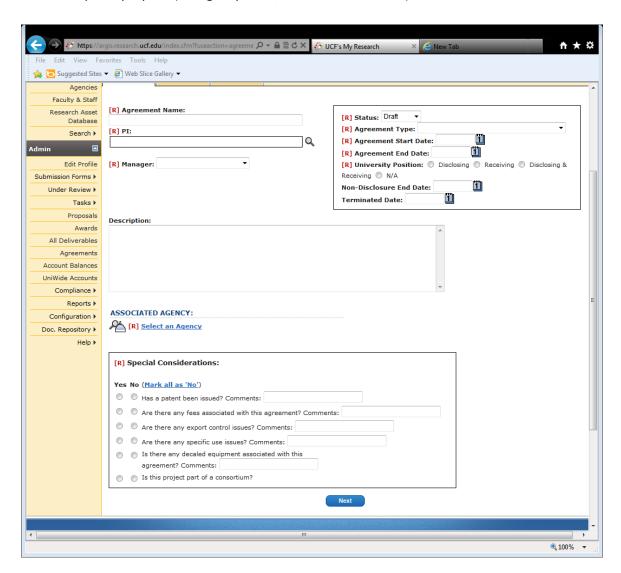
The same screen as presented earlier will display, with just a few changes.

- The Agreement Name will auto-populate with the title of the fundable agreement being entered.
- A Billing Tab will be available.

§11 Completing the Agreement Tabs for both Fundable and Non-Fundable:

§11.1 Details Tab

The Details Tab of the Agreement entry contains pertinent information about the agreement relationship and purpose (i.e. agency, start/end dates and status).



Agreement Name

Each Agreement requires a unique name that properly identifies the Agreement.

The Agreement Name should be entered as follows:

- For most: Agency(PI)_AgreementType_YYYY.MM.DD
- Teaming Agreements: Company_Prime(PI)_TeamingAgmt_YYYY.MM.DD
- Master Agreements: Company_MasterAgmt_YYYY.MM.DD

PI Name

Search using the \(\bigcirc \) icon for the appropriate PI affiliated to the Agreement. Please note, Agreements of a general nature (i.e. Master Agreements and IDIQs) must still affiliate to one specific PI, even though they are used University-wide.

Manager

Select the affiliated C&G Manager; this Manager is typically the reviewer that negotiated and executed the Agreement.

Description

Enter a brief description and any special notes not covered by the special consideration questions related to this Agreement.

Associated Agency

Search using the Agreement using the same instructions as prescribed in the Agency Look-Up instruction.

Please Note: Once an agency is affiliated to an Agreement record and the request has been sent to F&A, the agency cannot be modified. Ensure the affiliated agency is accurate when initially entered.

Special Considerations

The special consideration questions assist in identifying key information related to the Agreement. Mark where appropriate, per the terms in the Agreement.

Please Note: For Fundable Agreements, special considerations questions do not appear.

Status

From the drop down menu, select the appropriate status of the agreement:

- Active: If a new Agreement is being established and/or the Project is currently "active".
- **Closed:** If an Agreement has reached the end of the term and the Financial Compliance division has completed their closeout requirements, the status of the agreement should reflect "Closed". Note: The C&G staff are not responsible for switching the status of the Agreement to "Closed". The Financial Compliance division manages this function.
- Abandoned: If an Agreement has been abandoned and did not enter an active status, the
 Agreement record should be updated to "Abandoned". Typically, this status is not used by C&G
 staff but is used by the OTT division.
- Extension Pending: If the Agreement is being evaluated for an extension, the Agreement status should reflect "Extension Pending". Please Note: this update is important to ensure that Financial Compliance division does not prematurely close an active Agreement.
- **Terminated:** If the Agreement was terminated by either Party prior to the initial end date, the status of the Agreement record should be updated to "Terminated".

Agreement Type

From the drop down menu, the appropriate Agreement Type should be selected. Note: "Fundable" types of agreements should only be selected when affiliating to an Agreement that is associated to an awarded Project. If this is a Non-Fundable Agreement, a Non-Fundable type of Agreement should be selected.

Types of Agreements available:

- **Agreement** a negotiated and legally binding arrangement between parties as to a course of action that does not fit one of the other listed categories.
- As-Ordered
- **Bailment Assignment** an agreement outlining the temporary placement of control over, or possession of property by one person, the bailor, into the hands of another, the bailee, for a designated purpose.
- **Collaborative Research Agreement** an agreement entered between two or more researchers engaged in a research project about the nature of their working relationship.
- **Conditions of Use** an agreement that outlines the terms one must agree to abide by in order to use a service.
- **Confidential Disclosure Agreement** an agreement between two or more parties that signifies a confidential relationship exists between the parties involved.
- **Education Partnership Agreement** an agreement between schools and another organization to establish goals and to construct a plan of action for achievement of those goals.
- **Equipment Donation Agreement** an agreement outlining the donation of equipment, including the type, quantity, quality, value and designated purpose for the use of the donation as well as the rights and obligations of the two parties.
- **Equipment Loan Agreement** an agreement when a piece of equipment will be loaned to or from a third party and there is no other service contract with the borrower.
- **Evaluation Services Agreement** an agreement in which one party promises to submit an idea and the other party promises to evaluate it.
- **Export Control Document** documents related to Export Control (This is only used by the Export Control Office)
- **Facilities Usage Agreement** an agreement for a lease, rental or other contractual arrangement governing the use of facilities.
- **Fundable: Grant-** If the Agreement is to fund an awarded grant, "Fundable: Grant" should be selected.
- **Fundable: Contract**-If the Agreement is to fund an awarded contract, "Fundable: Contract" should be selected.
- **Fundable: Cooperative Agreement** If the Agreement is to fund an awarded Cooperative Agreement, "Fundable: Cooperative Agreement" should be selected.
- **Fundable: Donation** If the agreement is to fund an awarded Donation, "Fundable: Donation" should be selected.
 - Please Note: This option is typically reserved for the UCF Research Foundation as they manage the processing of all donations received by the UCF Foundation.
- **Fundable: Purchase Order-**If the Agreement is to fund an awarded Purchase Order (i.e. the award mechanism received is a purchase order), "Fundable: Purchase Order" should be selected.
- **Fundable: Master Agreement** If the Agreement is for a Master Agreement, which will have multiple fundable projects associated to it, "Fundable: Master Agreement" should be selected.

- **Funds-in-Agreement** an agreement between the government Department and a non-federal organization under which that organization pays the Department to provide a service or material not otherwise available in the private sector.
- **IAA –InterAgency Agreement** an agreement between two government agencies that defines cooperative work between them.
- **Indemnity Agreement** express, contractual promise by one party, the "indemnitor", to pay for the liability of another party, the "indemnitee".
- Individual Teaming Agreement
- Instructional Use Limited License Agreement_— a legal agreement outlining the terms for use of products for instructional use.
- **Intellectual Property Agreement** an agreement between two parties outlining the intellectual property rights of the two parties.
- Interconnection Agreement an agreement between an organization and telecommunication organizations for the purpose of interconnecting their networks and exchanging telecommunications traffic.
- Interinstitutional Agreement this agreement defines each institutions role and contributions
 to the project and delineates the scope of the project and the rights and obligations of the
 institutions.
- Intergovernmental Personnel Act Agreement (IPA) this agreement allows an individual to remain on UCF payroll and benefits while providing service to the government agency.
- **Joint Venture** –an agreement in which the parties agree to pool their resources for the purpose of accomplishing a specific task.
- **Letter Agreement** a letter stating the terms of an agreement between addressor and addressee.
- **Licensing Agreement** an agreement between two parties, known as the licensor and the licensee, outlining the permissions of the use of the licensed material.
- **Material Donation** an agreement outlining the terms of a material donation (other than equipment listed above).
- **Membership Agreement** an agreement defining rights and obligations with respect to membership with another organization.
- **Memorandum of Understanding** a multilateral agreement between two or more parties to establish official partnerships. They are not legally binding but they carry a degree of seriousness and mutual respect.
- Material Transfer Agreement (MTA) a contract that governs the transfer of tangible research materials between two organizations, when the recipient intends to use it for his or her own research purposes.
- Non reimbursable Space Act Agreement an agreement that involves NASA and one or more Agreement Partners in a mutually beneficial activity that furthers the Agency's Missions.
- **Publisher's Agreement** an agreement between a publisher and a writer or author, to publish written material by the writer or author.
- Reagent Repository Agreement
- Reimbursable Arrangement
- Release of Liability allows an organization to release liability deriving from a certain event.
- Reproduction Release
- **Research Agreement** an agreement that outlines the roles and responsibilities of the parties involved in a research project.

- **Teaming Agreement** involves two or more companies combining resources to bid on a government contract.
- **Technology Control Plan** formalization of the processes and procedures the University project personnel will use to ensure that any subject items (export controlled items) and information are not disclosed to unauthorized personnel or otherwise exported without the necessary US government authorization.
- **User Agreement** an agreement between a manufacturer and the organization that uses there manufactured item.
- **Vendor Purchase Order Terms** Terms associated with a Purchase Order when purchasing products and services.
- Visiting Scientist Agreement (VSA) an agreement wherein an individual scientist is granted permission by a UCF faculty member to access the physical resources and in some cases intellectual property of the University for a finite period of time within a specific context.
- **Waiver** an agreement through which a person or company agrees to release another party from legal responsibility or gives up a particular right or privilege.
- Work for Hire Agreement an agreement for an agency to 'hire' a UCF faculty member for specific purpose. Even though they remain a UCF employee the work created is done as hired work for the company and typically the company owns all the rights.

Sponsoring Agency Contract Number

The corresponding agency contract number should be entered (do not include spaces or dashes). If there is not an agency contract number to associate, please leave the field blank.

Agreement Start and End Date

The term within the Agreement is entered here.

University Position

For funded Agreements, the University position should be noted as "N/A". The Disclosing and Receiving positions are specific for Confidential Disclosure Agreements (a.k.a. PIAs and NDAs). If entering a Confidential Disclosure Agreement, select the appropriate answer for the position of the University under the Agreement.

Non-Disclosure Date

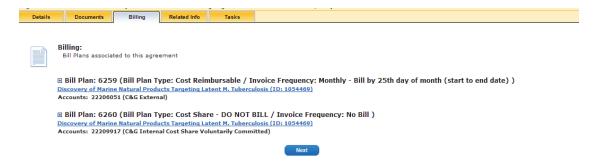
For funded Agreements, a non-disclosure end date is not applicable. The non-disclosure end date is specific to Confidential Disclosure Agreements (a.k.a. PIAs and NDAs). When entering a Confidential Disclosure Agreement, enter the non-disclosure end date, per the terms of the Agreement.

Termination Date

If the Agreement was terminated, the date of termination should be entered. If the Agreement was terminated early include a reason in the description box.

§11.2 Billing Tab (only for Fundable Agreements)

The Billing Tab is only available when you have selected a fundable agreement and it will only reference which Bill Plans have been associated to the agreement under the Research ID. No data entry occurs on this screen.

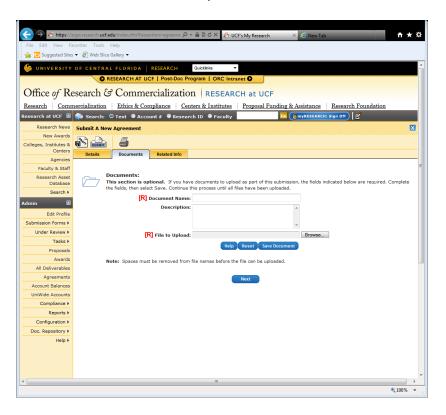


However, if a specific bill plan should be associated with the agreement and is not listed, the award record should be double checked to be sure the agreement is associated with the award record.

Note: No Bill Plans should be associated with non-fundable agreements.

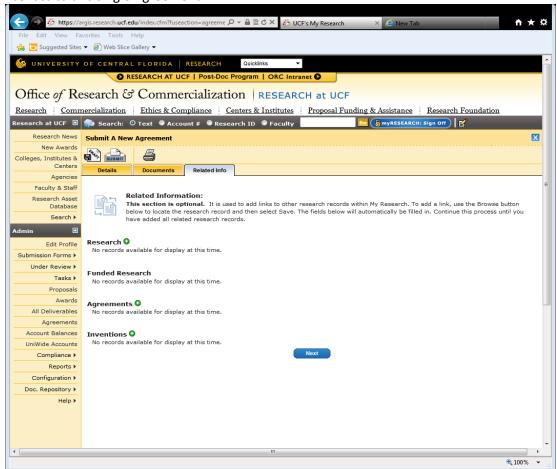
§11.3 Documents Tab

In the Documents Tab, only upload the fully executed Agreement to the record. Use the same naming conventions as described in the previous section.



§11.4 Related Info Tab

The Related Info Tab relates any research Projects, funded research, other agreements, inventions and licenses to this single Agreement.



If a specific other agreement or related research project needs to be associated with the agreement, click the button to search for a record to associate. Once the record is selected, click the button to associate the record to the agreement.

Note: The C&G staff should not associate inventions with agreements. The Tech Transfer team is the responsible party for properly associating inventions to agreements.

When you have completed the data entry on the new agreement click on the Submit icon. This will give you an agreement ID number.





F. Searching and Editing a Record

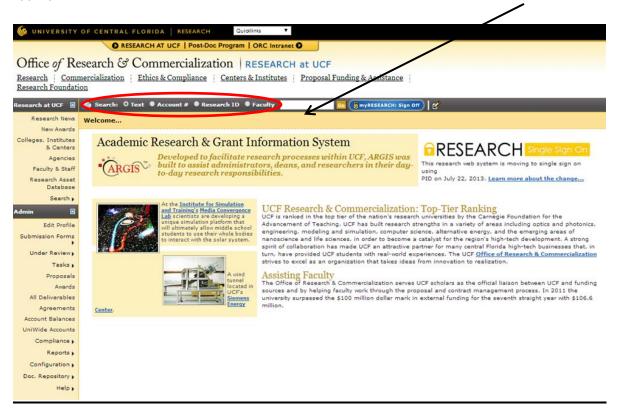
Effective Date: 8/17/15 Last Updated: 8/17/15

Reason for Procedure

It may be necessary to search and edit records, depending on what actions are being taken. This procedure outlines the types of options available to search and edit records stored in ARGIS.

Procedures

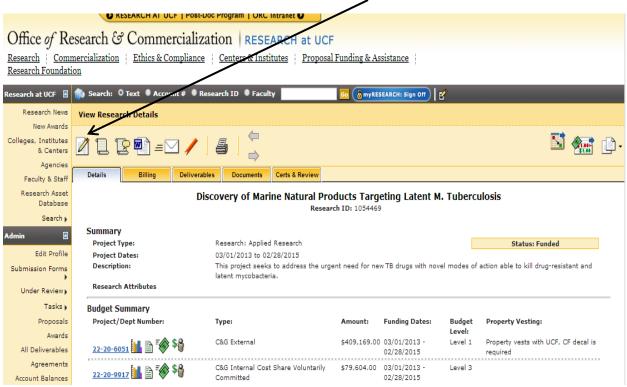
Step 1: To search for a record from the main ARGIS page, select what field to search by and enter the appropriate information to search for.



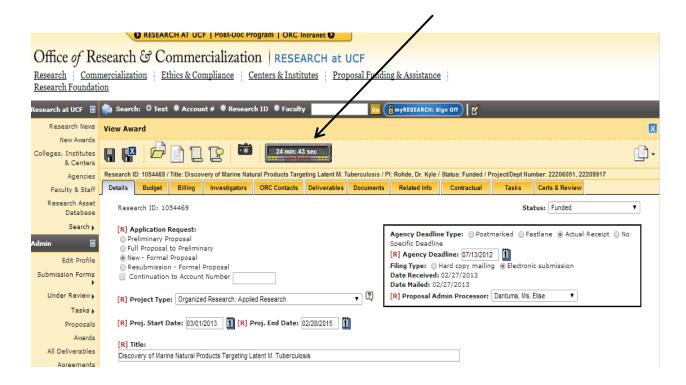
Step 2: Once the search is completed, select the appropriate record. Office of Research & Commercialization | RESEARCH at UCF Research Commercialization Ethics & Compliance Centers & Institutes Proposal Fundin Assistance Research Foundation earch at UCF 📳 🏀 Search: 🔍 Text 🔍 Account # 🔍 Research ID 🔎 Faculty myRESEARCH: Sign Off Search Results New Awards Colleges, Institutes & Centers Agencies U V W X Y Z 0-9 ALL A B C D E F G H I J K L M N O P Q R S Faculty & Staff Research Asset Ordered By:) (Previous Sho Database Search Discovery of Marine Natural Products Targeting Latent M. Tuberculosis (ID: 1054469) Dr. Kyle Rohde Organized Research: Sponsor: National Institute of Allergy and Infectious Diseases (NIAID) Edit Profile Submission Forms

Step 3: The next screen will show the record information. To edit the record, select the open the record in Edit mode

Under Review



Note: Once in edit mode, a Lock Timer is started for the record. This displays the amount of time available to edit the record and have a lock on the record. By having a lock on the record, no other user may edit the record at that time. Once the timer expires, other users may begin to edit the record again.



Step 4: Once the needed edits are made to the record, select the icon to save the record. If all edits made are completed, select the icon to save and close out of the record. If no changes were needed to the record, select the icon to exit the record without saving the record.

Related Information and Resources

ARGIS Help Online:

https://argis.research.ucf.edu/help/searching.cfm



G. Agency, Agency Address, and Agency Contacts Look-up Process

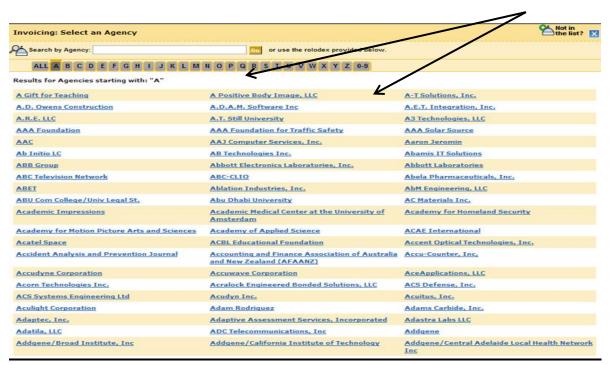
Effective Date: 8/17/15 Last Updated: 8/17/15

Reason for Procedure

This procedure outlines how to look-up an agency and related contact information for a research record.

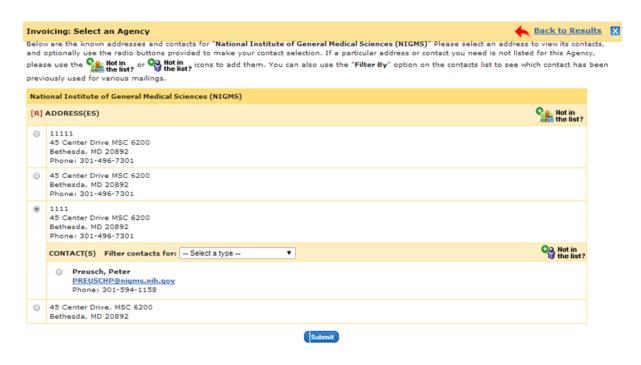
Procedures

Step 1: To look-up an agency for a research record, select the for the Agency through either the rolodex feature or by using the search bar.



Note: Using a part of the agency name or the acronym will work in the search box. If the agency is not in the system, click the is: icon to enter the Agency information. The actual name of the agency may differ from the word or wording used in the search box. Please be sure to thoroughly search for the agency. If the agency cannot be found, contact your supervisor prior to entering a new agency.

Step 2: Once the Agency is found, find the correct address and point of contact. If the address is not found, select the hotin icon to enter the address information. If the point of contact is not listed for the address, click the hotin icon to add the point of contact information. Once the address and contact is selected, click the submit button.



Failure to Comply

If the aforementioned procedures are not followed, a duplicate and or incorrect agency address will be created. Doing so compromises the accuracy of the agency data collected in ARGIS as well as the potential reports using that data.

Related Information and Resources

ARGIS Help Online:

https://argis.research.ucf.edu/help/researchadmin.cfm#agency



H. Changing Statuses of Records

Effective Date: 8/17/15 Last Updated: 8/17/15

Reason for Procedure

This procedure outlines how to look-up an agency and related contact information for a research record.

Procedures

Depending on where the record is in the life cycle of the project, the status of the record should be updated as necessary to accurately reflect its standing. Below outlines three different processes for updating a record to specific statuses.

§12 Changing a Status from Waiting to be Mailed to Pending

When a proposal has fully routed through the PTF approval chain, the status of the record changes from Under Review to Waiting to be Mailed. At this time, ORC is responsible for changing the status of the record from Waiting to be Mailed to Pending, once the proposal is submitted.

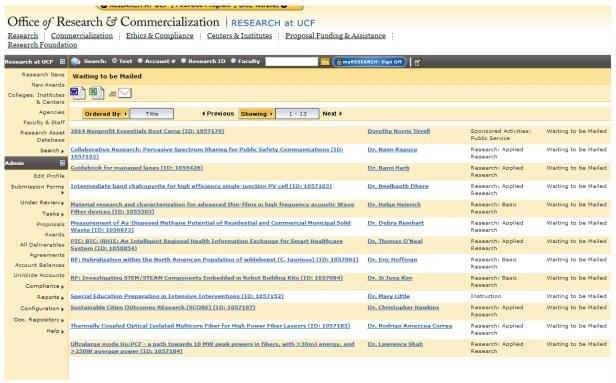
Note: Once a proposal's status is changed from Waiting to be Mailed to Pending, changes to the Proposed Budget details are reflected as modifications. Therefore, be sure no further changes to the budget are necessary prior to changing the status.

To change a proposal's status to Pending from Waiting to be Mailed, search for the record under the Admin column, on the left hand side, and click on the Under Review tab.

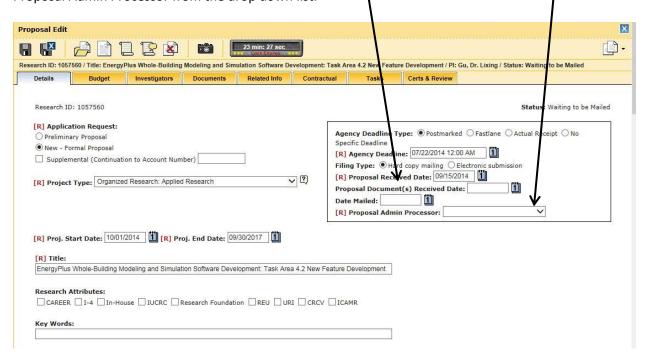
Select the Waiting to be Mailed link to display all proposals currently in the Waiting to be Mailed Status.



Search for the record in the list of proposals.



Once selected, the record will open in edit mode. Enter the appropriate dates for when documents were received and when the proposal was submitted to the agency in the Date Mailed box. Select the Proposal Admin Processor from the drop down list.



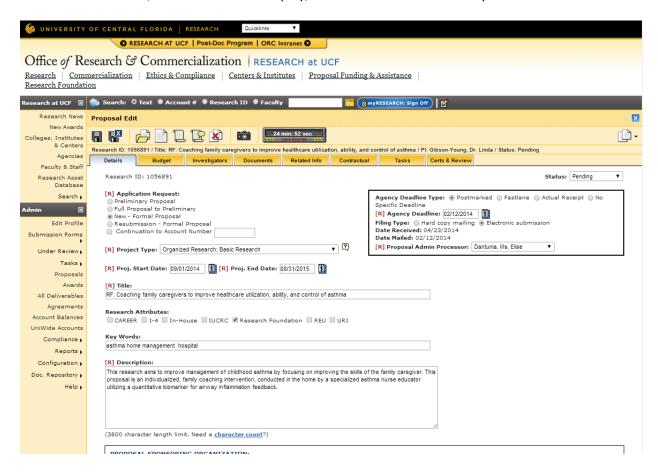
Click the icon to save and close the record. The record will now hold a status of Pending.

§13 Changing a Proposal Status to Declined

When ORC is notified by the PI about a proposal declined for funding by the agency, ORC is responsible for updating the status of the proposal in ARGIS.

To change a proposal's status to declined in ARGIS, open the record in edit mode.

Under the Details tab, next to the Status display, select Declined from the drop-down menu.



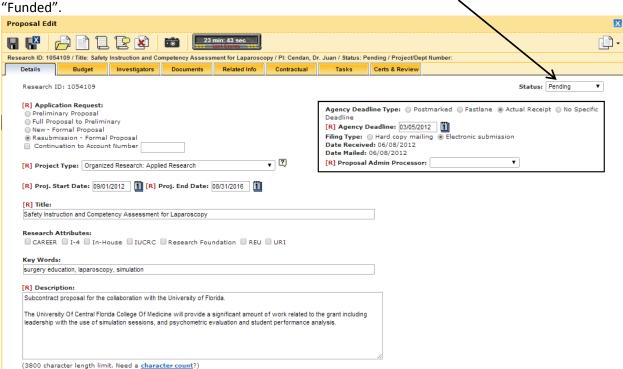
Click the icon to save and close the record. The record will now hold a status of Declined.

Be sure to include an official decline notice for the proposal file to be added to the electronic record.

§14 Changing a Record Status from Pending to Funded

When a proposal is formally awarded, the project's status needs to be updated in ARGIS to reflect a status of "Funded".

To change a status of a project, open the record in edit mode. From the Status drop-down menu, select



A window will display that states "Changing this proposal to a 'Funded' status requires additional information. Select 'Ok' to load the new form, otherwise select 'Cancel'".

Once changed to "Funded" status, additional tabs are generated in the record for data entry. The record is now ready to be completed.



Please see Award Entry section for details on entering an award in ARGIS.

Business Procedure Manual

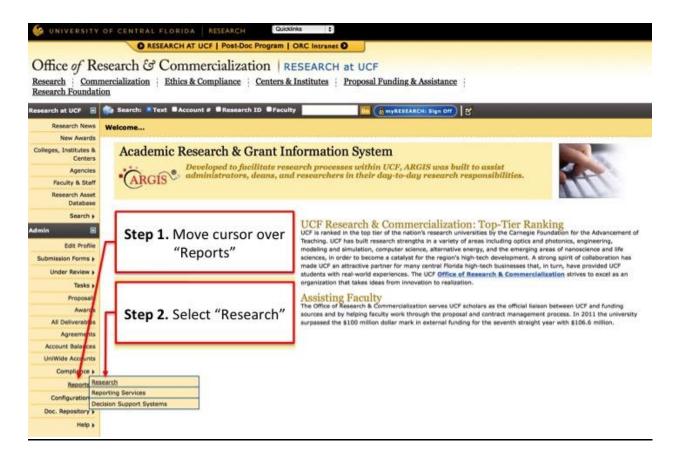
I. Manual Sends

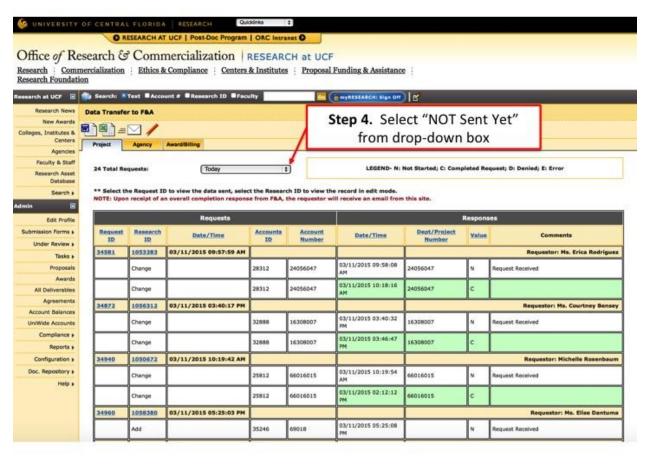
Effective Date: 8/17/15 Last Updated: 8/17/15

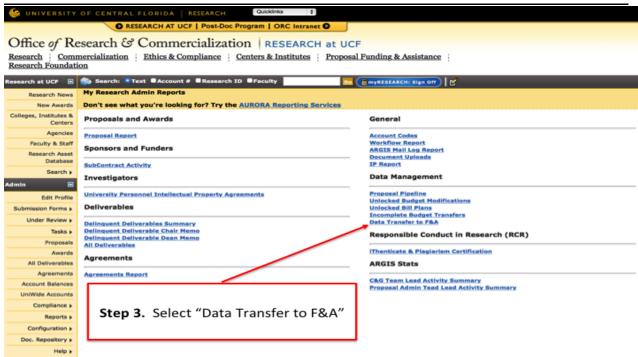
Reason for Procedure

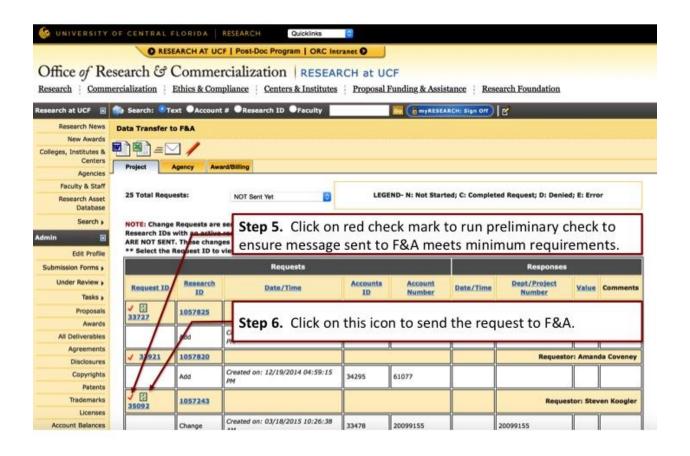
When projects are established or modified in ARGIS, the new information must be transmitted to F&A so that corresponding updates may be made to F&A accounting databases. This transmittal is typically accomplished by manually sending project updates from within ARGIS as follows:

Procedures









- 1. (Enter screen shot of reports page, circle research)
- 2. (enter screen shot of Report page, circle Data Transfer)
- 3. (screen shot of not yet sent)
- 4. Find the request you would like to manually send to F&A. Select the red check mark on the record to verify that requirements have been met. (screen of "all requirements met")
- 5. If all requirements have been met then select the Manual Send Icon (enter screen shot)
- 6. Confirmation window will appear confirming the transmittal to F&A (screen shot)

Related Information and Resources

http://it.research.ucf.edu/

ARGIS Procedure Manual

J. Denials

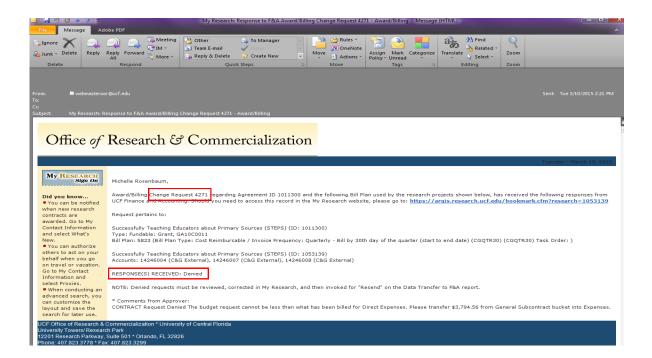
Effective Date: 8/17/15 Last Updated: 8/17/15

Reason for Procedure

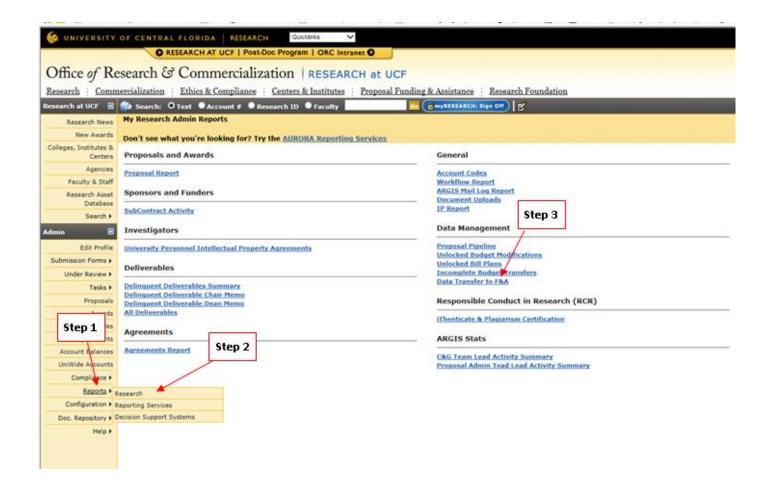
Find and correct denial messages from F&A

Procedures

1. Receive project/bill plan denial message is received from F&A through email. Find Request ID.

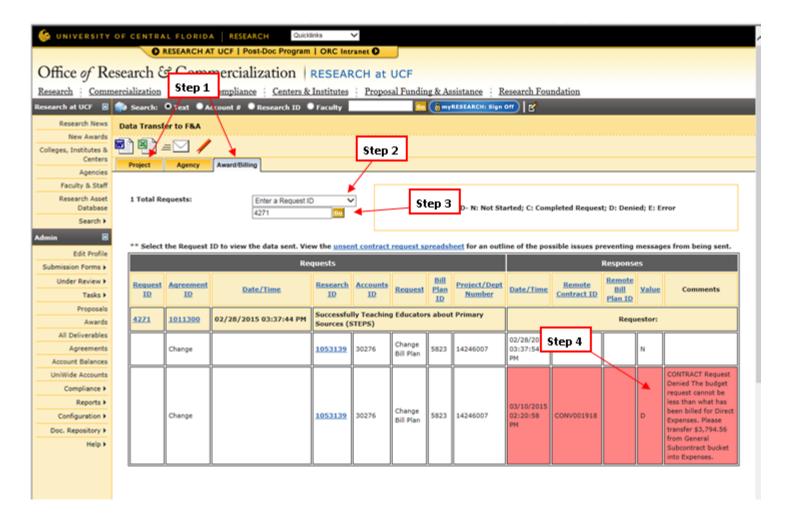


- 2. Go to Data Transfer
 - a. Step 1: Go to "Reports"
 - b. Step 2: Go to "Research"
 - c. Step 3: Click "Data Transfer to F&A"



3. On the Data Transfer Page:

- a. Step 1: Go to the Project or Award/Billing tab depending on where the denial occurred.
- b. Step 2: Use the drop down and go to "Enter Request ID"
- c. Step 3: Enter request ID from the email and hit "Go"
- d. Step 4: Denial message information will appear



4. Make corrections to the account per the denial message.

Exclusions/Exceptions

Work with F&A on the denial if there are any questions regarding the denial message.

Failure to Comply

Message data will not be transferred over to People Soft and the account will not be updated



K. ARGIS Troubleshooting

Effective Date: 8/17/15 Last Updated: 8/17/15

Reason for Procedure

To provide a standardized process for reporting ARGIS related system errors through an electronic ticket request. This will also highlight common ARGIS system errors/issues and outline related troubleshooting techniques.

Procedures

Step 1: Capture a screenshot of the error message/issue you are experiencing in ARGIS.

Step 2: Complete the following sections in an e-mail to the Research Information Systems (RIS) Service Desk (risservicedesk@ucf.edu)

- Action Initiated: (Ex. Saving an existing record, approving a PTF, entering a new agreement, etc.)
- Resulting Error/Issue: (Note: please be as descriptive as possible)
- Screenshot: (Include a screenshot of where the issue occurred or the error message)

We're sorry...

An error has occurred. An email has automatically been sent to the administrator.

- Browser Used: (Ex: Internet Explorer, Firefox, Chrome, etc.)
- Other Pertinent Information: (Ex. Time of day when you received the error message, number of times you tried to complete your initial action, tab/screen where the ARGIS error occurred)

Step 3: E-mail your completed ticket request to RIS with the subject line:

ARGIS_ {Issue/Error Description} Ex. ARGIS_White Screen Error

RIS will reply back with an automated response confirming the receipt of your ticket request.

Note: Any related follow-up should not result in another ticket request. Please reply back to the automated e-mail or visit the Office of Research Helpdesk Ticket System (a unique URL will be provided in the e-mail).

Failure to Comply

Failure to comply with the aforementioned procedures will lead to under reported and unresolved ARGIS system issues. As a result, the time it takes to complete actions in ARGIS will be increased.

Common ARGIS Issues

1. Data Saving Issues

a. Most data saving issues can be solved by putting Internet Explorer into compatibility mode or using a different browser.

2. iThenticate Document 909 Errors

a. The iThenticate document upload error can be solved by uploading a PDF that does not have images in it. All PDF documents will need to have recognizable text. You are able to turn your PDF into recognizable text by opening the PDF with Acrobat, going to tools, text recognition, and selecting "In This File". Please also ensure the radio button is selected for all pages.

3. Finding Withdrawn PTF's

a. Withdrawn PTF's can be found by searching for the Faculty name in the top search bar and selecting the name. Under the user's proposals and awards you can change the filter to "Status: Withdrawn" and click Go. This will then filter all of the withdrawn PTF's.

4. White Screen Errors

a. Any errors that open the "White screen" that states the error has been sent to an administrator should be fixed by the Center for Research Administration Technologies & Applications (CRATA) staff. If you experience one of these errors please document the time of the error. Please send in the time of the error, what you were trying to do, and send this in to the RIS Service Desk. They will then coordinate to have this issue resolved for you.

Other Helpful Tips

- The RIS team recommends using the latest version of Internet Explorer as Chrome may have limited functionality
- Make sure the compatibility mode is turned on
- Pop-ups should always be allowed from ARGIS

Related Information and Resources

Research Information Systems (RIS) Service Desk:

Phone: 407-823-5500

E-mail: risservicedesk@ucf.edu

Website: http://it.research.ucf.edu/index.html